

Education Criteria for Performance Excellence

accomplishment



recognition



QUEST FOR EXCELLENCE

Quest for Excellence XI Conference

Each year, Quest for Excellence, the official conference of the Malcolm Baldrige National Quality Award, provides a forum for Baldrige Award recipients to share their exceptional performance practices with worldwide leaders in business, education, health care, and not-for-profit organizations. Quest for Excellence XI will showcase the 1998 recipients.

For the last ten years, executives, managers, and quality leaders have come to this conference to learn how these role-model organizations have achieved performance excellence. CEOs and other leaders from the Award recipients who are transforming their organizations will give presentations covering all seven Categories of the Baldrige Criteria: Leadership; Strategic Planning; Customer and Market Focus; Information and Analysis; Human Resource Focus; Process Management; and Business Results. Conference attendees will have the opportunity to ask questions of the Award recipients. This three-day conference is designed to maximize learning and networking opportunities.

The Quest for Excellence XI Conference will be held April 25-28, 1999, at the Marriott Wardman Park Hotel in Washington, DC. For further information, contact NIST, Baldrige National Quality Program, Administration Building, Room A635, 100 Bureau Drive, Stop 1020, Gaithersburg, MD 20899-1020; telephone: (301) 975-2036; fax: (301) 948-3716; or E-mail: nqp@nist.gov.

The Malcolm Baldrige National Quality Award

The Award, composed of two solid crystal prismatic forms, stands 14 inches tall. The crystal is held in a base of black, anodized aluminum with the Award recipient's name engraved on the base. A 22-karat, gold-plated medallion is captured in the front section of the crystal. The medal bears the inscriptions: "Malcolm Baldrige National Quality Award" and "The Quest for Excellence" on one side and the Presidential Seal on the other.

The President of the United States traditionally presents the Awards at a special ceremony in Washington, DC.



Crystal by Steuben

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To: U.S. School and Education Executives

From: Harry S. Hertz, Director
Baldrige National Quality Program

A handwritten signature in cursive script that reads "Harry S. Hertz".

Subject: The Baldrige Challenge

The year 1999 marks a unique opportunity for education institutions since it is the first year they are eligible to apply for the Malcolm Baldrige National Quality Award. The Award application process, as well as self-assessment against the Criteria for Performance Excellence, provides a steady and proven course for education institutions to pursue performance excellence and maintain a leadership position in their communities.

In a constantly changing environment and with ever-increasing challenges placed on today's schools, educators are seeking every opportunity to improve their school's performance results. For more than a decade, the Baldrige Criteria for Performance Excellence have been a significant tool used by thousands of U.S. organizations to assess and then improve performance on the critical factors that drive their overall success.

The Criteria provide a valuable framework for performance excellence and can help you assess and measure performance on a wide range of key institutional performance indicators: student/stakeholder, educational service and outcomes, operational, and financial. Self-assessment allows you to identify strengths and to target opportunities for improvement on processes and results affecting all key stakeholders — including students, faculty, staff, and your community. The Criteria also can help you align resources; improve communication, productivity, and effectiveness; and achieve your goals. Baldrige Award recipients in the business sector report outstanding results.

If you are ready to take the Baldrige challenge, you must first decide whether to perform a self-assessment only or also to submit an Award application. In the most competitive business sectors, organizations with world-class results are able to achieve a score above 700 on the 1,000-point Baldrige scale. Even if you don't expect to win the Malcolm Baldrige National Quality Award, submitting an application has valuable benefits. Every applicant receives a detailed feedback report — based on an independent, external assessment conducted by a panel of specially trained and recognized experts — outlining your strengths and opportunities for improvement.

Ultimately, your application may lead to a site visit. It also may lead to a Baldrige Award. It will most certainly identify high-priority opportunities for performance improvement. Many Award recipients tell us their greatest rate of improvement occurs the year after receiving the Award. If you receive the Baldrige Award, you may publicize and advertise your organization's winning status.

We make only one requirement of recipients: that you share information from your application summary and participate in the Quest for Excellence Conference in March 2000, so that others might learn from your success.

The Criteria are in your hands ... so is an incredible opportunity. Why not take the challenge? Turn these pages, and turn the corner toward performance excellence.

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Business and health care organizations should use the appropriate Criteria booklets. See page 44 for ordering information.

If you plan to apply for the Award in 1999, you will also need the booklet entitled *1999 Application Forms & Instructions for Business, Education, and Health Care*.

Ordering instructions are given on page 44.

Eligibility Forms due — April 15, 1999 Award Applications due — June 2, 1999

We are easy to reach. Our web address is <http://www.quality.nist.gov>.

THE MALCOLM BALDRIGE NATIONAL QUALITY AWARD PROGRAM

A Public-Private Partnership

Building active partnerships in the private sector, and between the private sector and all levels of government, is fundamental to the success of the Baldrige National Quality Program in improving national competitiveness.

Support by the private sector for the Program in the form of funds, volunteer efforts, and participation in information transfer continues to grow.

To ensure the continued growth and success of these partnerships, each of the following organizations plays an important role:

The Foundation for the Malcolm Baldrige National Quality Award

The Foundation for the Malcolm Baldrige National Quality Award was created to foster the success of the Program. The Foundation's main objective is to raise funds to permanently endow the Award Program.

Prominent leaders from U.S. organizations serve as Foundation Trustees to ensure that the Foundation's objectives are accomplished. Donor organizations vary in size and type, and represent many kinds of businesses.

National Institute of Standards and Technology (NIST)

The Department of Commerce is responsible for the Baldrige National Quality Program and the Award. NIST, an agency of the Department's Technology Administration, manages the Baldrige Program.

NIST promotes U.S. economic growth by working with industry to develop and deliver the high-quality measurement tools, data, and services necessary for the nation's technology infrastructure. NIST also participates in a unique, government-private partnership to accelerate the development of high-risk technologies that promise significant commercial and economic benefits, and — through a network of technology extension centers and field offices located in all 50 states and Puerto Rico — helps small- and medium-size businesses access the information and expertise they need to improve their competitiveness in the global marketplace.

American Society for Quality (ASQ)

ASQ assists in administering the Award Program under contract to NIST.

ASQ is dedicated to the ongoing development, advancement, and promotion of quality concepts, principles, and techniques. ASQ strives to be the world's recognized champion and leading authority on all issues related to quality. ASQ recognizes that continuous quality improvement will help the favorable positioning of American goods and services in the international marketplace.

Board of Overseers

The Board of Overseers is the advisory organization on the Baldrige National Quality Program to the Department of Commerce. The Board is appointed by the Secretary of Commerce and consists of distinguished leaders from all sectors of the U.S. economy.

The Board of Overseers evaluates all aspects of the Program, including the adequacy of the Criteria and processes for determining Award recipients. An important part of the Board's responsibility is to assess how well the Program is serving the national interest. Accordingly, the Board makes recommendations to the Secretary of Commerce and to the Director of NIST regarding changes and improvements in the Program.

Board of Examiners

The Board of Examiners evaluates Award applications and prepares feedback reports. The Panel of Judges, part of the Board of Examiners, makes Award recommendations to the Director of NIST. The Board consists of leading U.S. business, health care, and education experts. Members are selected by NIST through a competitive application process. For 1999, the Board consists of about 350 members. Of these, nine (who are appointed by the Secretary of Commerce) serve as Judges, and approximately 70 serve as Senior Examiners. The remainder serve as Examiners. All members of the Board take part in an Examiner preparation course.

In addition to their application review responsibilities, Board members contribute significantly to information transfer activities. Many of these activities involve the hundreds of professional, trade, community, and state organizations to which Board members belong.

Award Recipients

Award recipients are required to share information on their successful performance and quality strategies with other U.S. organizations. However, recipients are not required to share proprietary or confidential information, even if such information was part of their Award application. The principal mechanism for sharing information is the annual Quest for Excellence Conference, highlighted on the inside front cover.

Award recipients in the 11 years of the Award have been very generous in their commitment to improving U.S. competitiveness and the U.S. pursuit of performance excellence. They have shared information with hundreds of thousands of companies, education institutions, health care organizations, government agencies, and others. This sharing far exceeds expectations and Program requirements. Award recipients' efforts have encouraged many other organizations in all sectors of the U.S. economy to undertake their own performance improvement efforts.

The Baldrige National Quality Program will provide financial support to not-for-profit education institutions to support their information sharing.

INTRODUCTION

Education and Health Care Categories

As the result of legislation signed into law by President Clinton on October 30, 1998, education institutions and health care organizations will be eligible to take full advantage of the Malcolm Baldrige National Quality Award in 1999.

For several years, the education and health care sectors have expressed strong interest in establishing Baldrige quality award programs for their communities. This interest was prompted in part by the business community, a major stakeholder in both sectors. In 1995, NIST conducted successful pilot programs to determine the interest and readiness of health care organizations and education institutions in participating in a Baldrige Award Program. The pilot programs included these key initiatives:

- distribution of Baldrige Award Criteria to education and health care leaders for review and comment on the appropriateness of the core concepts and the Criteria elements for these two communities;
- formation and training of Education and Health Care Pilot Evaluation Teams;
- development of the Education Pilot Criteria and Health Care Pilot Criteria; and
- development of education and health care case studies, and networking with educators and health care professionals across the country.

Forty-six health care organizations and nineteen education institutions submitted applications for the pilots. Each applicant received written feedback on its performance management system, including strengths and opportunities for improvement.

Program Expansion and Funding

In May 1997, the private Foundation for the Malcolm Baldrige National Quality Award announced a \$15 million fund drive to raise an endowment to help establish an award program for the education and health care sectors. The endowment will help fund activities such as printing and distributing the criteria and training private sector examiners who review applications. The Foundation elected two Directors each from the education and health care sectors to join the six Directors from the business community. The Foundation currently is collecting funds for the new \$15 million endowment, as the private contribution to the expanded public-private partnership for support of the new education and health care award categories.

Until now, federal funding has not been available to establish education and health care categories, although new Criteria were issued in 1998. The *1998 Education Criteria for Performance Excellence* were funded by the Department of Education, and the *1998 Health Care Criteria for Performance Excellence* were funded by the Veterans Health Administration. These criteria have the same framework and intent as the Business Criteria for Performance Excellence but differ in sector-specific issues and language.

With the passage of the new NIST budget, non-profit and for-profit education institutions and health care organizations can now participate fully in the Baldrige National Quality Program to improve performance, share best practices, and foster partnerships involving schools, businesses, health care organizations, human service agencies, and others.

Education Criteria for Performance Excellence

The Baldrige National Quality Program uses performance excellence criteria created through a public-private partnership. The Criteria are designed not only to serve as a reliable basis for making Awards but also to permit a diagnosis of any organization's overall performance management system. The Criteria are used by organizations of all kinds for self-assessment, planning, training, and other purposes. The Item Requirements in the *1999 Education Criteria for Performance Excellence* remain unchanged from 1998.

Contents of this Booklet

This booklet contains:

- the Education Criteria for Performance Excellence and a glossary of key terms;
- a description of the Criteria, including Core Values and Concepts and other educational information;
- Scoring Guidelines and a description of the scoring system;
- information on preparing a School Overview and on responding to Criteria Item requirements; and
- a listing of educational information available from the Baldrige National Quality Program.

1999 EDUCATION CRITERIA FOR PERFORMANCE EXCELLENCE — ITEM LISTING

1999 Categories/Items		Point Values
1	Leadership	110
1.1	Leadership System	80
1.2	Public Responsibility and Citizenship	30
2	Strategic Planning	80
2.1	Strategy Development Process	40
2.2	School Strategy	40
3	Student and Stakeholder Focus	80
3.1	Knowledge of Student Needs and Expectations	40
3.2	Student and Stakeholder Satisfaction and Relationship Enhancement	40
4	Information and Analysis	80
4.1	Selection and Use of Information and Data	25
4.2	Selection and Use of Comparative Information and Data	15
4.3	Analysis and Review of School Performance	40
5	Faculty and Staff Focus	100
5.1	Work Systems	40
5.2	Faculty and Staff Education, Training, and Development	30
5.3	Faculty and Staff Well-Being and Satisfaction	30
6	Educational and Support Process Management	100
6.1	Education Design and Delivery	60
6.2	Education Support Processes	40
7	School Performance Results	450
7.1	Student Performance Results	150
7.2	Student and Stakeholder Satisfaction Results	100
7.3	Faculty and Staff Results	100
7.4	School-Specific Results	100
TOTAL POINTS		1000

Note: The Scoring System used with the Criteria Items in a Baldrige assessment can be found on pages 29-30.

GLOSSARY OF KEY TERMS

This Glossary of Key Terms defines and briefly describes terms used throughout the Baldrige Criteria booklets that are important to performance management.

Action Plans

Action plans refer to principal school-level actions, derived from short- and long-term strategic planning. In simplest terms, action plans spell out those things the school must do well for its strategy to succeed. Action plan development represents the critical stage in planning when general strategies and goals are made specific so that effective school-wide understanding and deployment are possible. Deployment of action plans requires commitment of resources, creation of aligned measures for work units, and might also require specialized training for some faculty and staff or recruitment of personnel.

Alignment

Alignment refers to consistency of plans, processes, actions, information, and decisions among school units in support of key school-wide goals.

Effective alignment requires common understanding of purposes and goals and use of complementary measures and information to enable planning, tracking, analysis, and improvement at three levels: the school level; the key process level; and the work unit level.

Cycle Time

Cycle time refers to time performance — the time required to fulfill commitments or to complete tasks.

High Performance Work

High performance work refers to work approaches used to *systematically* pursue ever higher levels of overall school and human performance.

Approaches to high performance work vary in form, function, and incentive systems. Effective approaches generally include: cooperation between management and the work force, including work force bargaining units; cooperation among work units, often involving teams; self-directed responsibility (sometimes called empowerment); employee input to planning; individual and organizational skill building and learning; learning from other organizations; flexibility in job design and work assignments; an organizational structure with minimum layering (“flattened”),

where decision making is decentralized and decisions are made closest to the “front line”; and effective use of performance measures, including comparisons. Some high performance work systems use monetary and non-monetary incentives based upon factors such as organizational performance, team and/or individual contributions, and skill building. Also, high performance work approaches usually seek to align the design of organizations, work, jobs, employee development, and incentives.

Leadership System

Leadership system refers to how leadership is exercised, formally and informally, throughout the school — the basis for and the way that key decisions are made, communicated, and carried out. It includes structures and mechanisms for decision making, selection and development of leaders and managers, and reinforcing values, practices, and behaviors.

An effective leadership system creates clear values respecting the capabilities and requirements of employees and other school stakeholders and sets high expectations for performance and performance improvement. It builds loyalties and teamwork based upon the values and the pursuit of shared purposes. It encourages and supports initiative and risk taking, subordinates organization to purpose and function, and avoids chains of command that require long decision paths. An effective leadership system includes mechanisms for the leaders’ self-examination, receipt of feedback, and improvement.

Measures and Indicators

Measures and indicators refer to numerical information that quantifies (measures) input, output, and performance dimensions of processes, products, services, and the overall school (outcomes). Measures and indicators might be simple (derived from one measurement) or composite.

The Criteria do not make a distinction between measures and indicators. However, some users of these terms prefer the term indicator: (1) when the measurement relates to performance, but is not a direct or exclusive measure of such performance (e.g., the number of complaints is an indicator of dissatisfaction, but not a direct or exclusive measure of it); and (2) when the measurement is a predictor (“leading indicator”) of some more significant performance (e.g., a gain in student satisfaction might be a leading indicator of student retention).

Performance

Performance refers to output results information obtained from processes and services that permits evaluation and comparison relative to goals, standards, past results, and other organizations. Performance might be expressed in non-financial and financial terms.

Two types of performance are addressed in this Criteria booklet: (1) operational; and (2) student- and stakeholder-related.

Operational and faculty/staff performance refers to performance relative to effectiveness and efficiency measures and indicators. Examples include cycle time, productivity, and regulatory compliance. Operational performance might be measured at the work unit level, key process level, and school level.

Student- and stakeholder-related performance refers to performance relative to measures and indicators of student and stakeholder perceptions, reactions, and behaviors. Examples include student retention, complaints, and survey results. Student- and stakeholder-related performance generally relates to the school as a whole.

Process

Process refers to linked activities with the purpose of producing a product or service for a customer (user) within or outside an organization. Generally, processes involve combinations of people, machines, tools, techniques, and materials in a systematic series of steps or actions. In some situations, processes might require adherence to a specific sequence of steps, with documentation (sometimes formal) of procedures and requirements, including well-defined measurement and control steps.

In many service situations, particularly when customers are directly involved in the service, process is used in a more

general way — to spell out what must be done, possibly including a preferred or expected sequence. If a sequence is critical, the service needs to include information to help customers understand and follow the sequence. Service processes involving customers also require guidance to the providers on handling contingencies related to customers' likely or possible actions or behaviors.

In knowledge work such as teaching, strategic planning, research, development, and analysis, process does not necessarily imply formal sequences of steps. Rather, process implies general understandings regarding competent performance such as timing, options to be included, evaluation, and reporting. Sequences might arise as part of these understandings.

Productivity

Productivity refers to measures of efficiency of the use of resources. Although the term is often applied to single factors such as staffing (labor productivity), machines, materials, energy, and capital, the productivity concept applies as well to the total resources used in producing outputs. Overall productivity — sometimes called total factor productivity — is determined by combining the productivities of the different resources used for an output. The combination usually requires taking a weighted average of the different single factor productivity measures, where the weights typically reflect costs of the resources. The use of an aggregate measure of overall productivity allows a determination of whether or not the net effect of overall changes in a process — possibly involving resource tradeoffs — is beneficial.

Effective approaches to performance management require understanding and measuring single factor and overall productivity, particularly in complex cases when there are a variety of costs and potential benefits.

I Leadership (110 pts.)

The **Leadership** Category examines the school's leadership system and senior leaders' personal leadership. It examines how senior leaders and the leadership system address values, a focus on student learning, and performance excellence. Also examined is how the school addresses its societal responsibilities and provides support to key communities.

I.1 Leadership System (80 pts.)

Approach - Deployment

Describe the school's leadership system and how senior leaders guide the school in setting directions and in developing and sustaining effective leadership throughout the organization.

In your response, address the following Area:

a. Leadership System

Describe the school's leadership system, how senior leaders provide effective leadership, and how this leadership is exercised throughout the school, taking into account the needs and expectations of all key stakeholders. Include:

- (1) a description of the school's leadership system and how it operates. Include how it addresses values, performance expectations, a focus on students and other stakeholders, student learning, and goals; and
- (2) how senior leaders:
 - set and communicate school directions, taking into account all key stakeholders;
 - communicate and reinforce values, performance expectations, a focus on students and other stakeholders, student learning, and commitment to improvement throughout the faculty and staff;
 - maintain a climate conducive to learning, including safety and equity;
 - participate in and use the results of performance reviews; and
 - evaluate and improve the leadership system, including how they use their review of the school's performance and faculty and staff feedback in the evaluation.

Notes:

N1. The term school, as used in the Criteria, refers to the assessment participation unit. The participation unit might actually be a school, a school district, a post-secondary institution, or a major academic unit within a college or university.

N2. The term senior leaders, as used in the Criteria, refers to those with main responsibility to manage

the school. The leadership system also would include the school's oversight entities such as school boards, as appropriate.

N3. School performance reviews are addressed in Item 4.3. Responses to 1.1a(2) should therefore focus on the senior leaders' role in and uses of the review of overall performance, not on the details of the review.

For additional description of this Item, see page 22.

I.2 Public Responsibility and Citizenship (30 pts.)

Approach - Deployment

Describe how the school addresses its responsibilities to the public and how the school practices good citizenship.

In your response, address the following Areas:

a. Societal Responsibilities

How the school addresses the current and potential impacts on society of its operations. Include:

- (1) key practices, measures, and targets for regulatory, legal, and ethical requirements and for risks associated with school operations; and
- (2) how the school anticipates public concerns with its operations, assesses potential impacts on society, and addresses these concerns in a proactive manner.

b. Support of Key Communities

How the school, its senior leaders, and its faculty and staff support and strengthen their key communities.

Notes:

N1. Public responsibilities in areas critical to the school also should be addressed in Strategy Development Process (Item 2.1) and in Educational and Support Process Management (Category 6). Key results, such as results of regulatory/legal compliance, should be reported as School-Specific Results in Item 7.4.

N2. Areas of community support appropriate for inclusion in 1.2b might include efforts by the school

to strengthen local community services, education, the environment, and practices of professional, trade, and business associations.

N3. Health and safety of students and stakeholders are included in Item 1.2. However, health and safety of faculty and staff are not included in Item 1.2; they are addressed in Item 5.3.

For additional description of this Item, see page 22.

2 Strategic Planning (80 pts.)

The *Strategic Planning* Category examines how the school sets strategic directions, and how it develops key action plans to support the directions. Also examined are how plans are deployed and how performance is tracked.

2.1 Strategy Development Process (40 pts.)

Approach - Deployment

Describe how the school sets strategic directions to better address key student and stakeholder needs and school performance requirements.

In your response, address the following Area:

a. Strategy Development Process

Provide a brief description or diagram of the strategy development process. Include how the school takes the following factors into account:

- (1) student and stakeholder needs and expectations;
- (2) key external factors, requirements, and opportunities; and
- (3) key internal factors, including faculty and staff capabilities and needs, and the school's capability to assess student learning.

Notes:

N1. The strategy development process refers to the school's approach, formal or informal, to a future-oriented basis for making or guiding decisions, priorities, resource allocations, and school-wide management. This process might use models, forecasts, scenarios, analyses, and/or key stakeholder requirements and plans.

N2. Strategy should be interpreted broadly. It might include any or all of the following: addition or termination of programs; modifications in instructional design; use of technology; changes in testing and/or

assessment; adoption of standards; services to new/changing student populations; research priorities; and partnerships with other schools. Responses to Item 2.1 should address the factors from the point of view of the school, taking into account opportunities and constraints the school faces.

N3. Item 2.1 addresses overall school directions and strategy, including changes in services and programs. However, the Item does not address education design; this is addressed in Item 6.1.

For additional description of this Item, see page 23.

2.2 School Strategy (40 pts.)

Approach - Deployment

Summarize the school's strategy and action plans, how they are deployed, and how performance is tracked. Include key performance requirements and measures, and an outline of related faculty and staff resource plans. Estimate how the school's performance projects into the future relative to current performance, comparisons, and/or key benchmarks.

In your response, address the following Areas:

a. Strategy and Action Plans

Provide a summary of the action plans and related faculty and staff resource plans derived from the school's overall strategy. Briefly explain how critical action plan requirements, including faculty and staff resource plans, performance measures and/or indicators, and resources are aligned and deployed. Describe how performance relative to plans is tracked. Note any important differences between short- and longer-term plans and the reasons for the differences.

b. Performance Projection

Provide a two-to-five year projection of key performance measures and/or indicators of performance based on the likely changes resulting from the school's action plans. Include appropriate comparisons with the school's past performance, comparable schools, and/or key benchmarks. Briefly explain the comparisons, including any estimates or assumptions made in projecting comparative performance and/or benchmark data.

Note:

The development and implementation of school strategy and action plans are closely linked to other Items in the Criteria and to the overall performance excellence framework given on page 38. Specific linkages include:

- Item 1.1 and how senior leaders set and communicate school directions;
- Category 3 for gathering student and stakeholder information as input to strategy and action plans, and for implementing action plans for building and enhancing relationships;
- Category 4 for information and analysis to support development of school strategy and track progress relative to strategies and action plans;
- Items 5.1 and 5.2 for work system and faculty and staff development needs resulting from school action plans and related faculty and staff resource plans; and
- Category 6 for process requirements resulting from school action plans.

For additional description of this Item, see page 23.

3 Student and Stakeholder Focus (80 pts.)

The *Student and Stakeholder Focus* Category examines how the school determines requirements, expectations, and preferences of its students and stakeholders. Also examined is how the school builds relationships with students and stakeholders and determines their satisfaction.

3.1 Knowledge of Student Needs and Expectations (40 pts.) **Approach - Deployment**

Describe how the school determines longer-term requirements, expectations, and preferences of students and future students. Describe also how the school uses this information to understand and anticipate needs and to create an overall climate conducive to learning for all students.

In your response, address the following Area:

a. Knowledge of Student Needs and Expectations

Provide a brief description of how the school learns from its former, current, and future students to understand and anticipate needs and to develop and maintain a climate conducive to optimal learning. Include:

- (1) how the school maintains awareness of key general and special needs and expectations of current students. Describe how needs and expectations are determined, aggregated, and analyzed, and how this information is deployed to all appropriate school units;
- (2) how the school monitors student utilization of offerings, facilities, and services to determine their influence upon active learning and satisfaction. Include how information on student segments and/or individual students is developed for purposes of engaging all students in active learning; and
- (3) how the school determines and anticipates changing needs and expectations of future students. Summarize:
(a) demographic data and trends that may bear upon enrollments and needs; (b) changing requirements and expectations its graduates will face; (c) changing needs and expectations resulting from national, state, or local requirements; (d) educational alternatives available to its pool of future students; and (e) how the school analyzes the information to develop actionable data and information as input to planning.

Notes:

N1. Student needs [3.1a] might take into account information from students and key stakeholders such as families, employers, and other schools. Needs include educational and other requirements such as safety.

N2. Student segments [3.1a(2)] refers to groups of students with similar needs. The basis for the groupings might reflect their career interests, learning styles, living status (residential vs. commuter), family income, or other factors.

N3. Changing requirements of graduates [3.1a(3)] should reflect requirements set by stakeholders — other schools and employers — taking into account paths followed by the school's graduates. This might include qualification standards, licensure requirements, workplace skills, admission requirements, etc.

N4. Use of trend data [3.1a(3)] refers to information the school collects that shows year-to-year changes. Such changes might reflect specific and/or local factors important to the school. In some cases, such local factors could be different from national trends.

For additional description of this Item, see pages 23-24.

3.2 Student and Stakeholder Satisfaction and Relationship Enhancement (40 pts.)

Approach - Deployment

Describe how the school determines and enhances the satisfaction of its students and stakeholders to build relationships, to improve current educational services, and to support planning.

In your response, address the following Areas:

a. Stakeholder Relationship Enhancement

How the school provides for effective relationships with stakeholders to support and enhance its ability to improve its services. Include:

- (1) how the school creates clear bases for relationships with key stakeholders. For each stakeholder group, describe: (a) key objectives of the relationship; (b) key needs of the stakeholder and how these needs are determined and kept current; and (c) key needs of the school and how these needs are communicated to the stakeholder; and
- (2) how the school maintains effective stakeholder relationships. Describe: (a) how regular and special access needs are addressed; (b) how the school follows up on its interactions with key stakeholders to determine satisfaction and progress in meeting objectives, and to resolve problems; (c) key measures and/or indicators the school uses to monitor the effectiveness and progress of its key relationships; and (d) how the school develops partnerships with key stakeholders to pursue common purposes.

b. Student and Stakeholder Satisfaction Determination

How the school determines student and stakeholder satisfaction and dissatisfaction. Include:

- (1) how processes, measurement scales, and data are used to determine student satisfaction and dissatisfaction; frequency of determination; and how objectivity and reliability are ensured. Indicate significant differences, if any, in methods and measurement scales for different student groups. Describe also how satisfaction measurements capture key information on factors that bear upon students' motivation and active learning, and how student satisfaction relative to comparable schools is determined; and
- (2) how the school determines the satisfaction of key stakeholders; a brief description of processes and measurement scales used; frequency of determination; and how objectivity and reliability are ensured. Indicate significant differences, if any, in methods and measurement scales for different stakeholder groups. Describe also how satisfaction measurements relate to education climate and student and stakeholder needs, and how stakeholder satisfaction relative to comparable schools is determined.

Notes:

N1. Student and stakeholder satisfaction and dissatisfaction determination (3.2b) might include any or all of the following: surveys, formal and informal feedback from students and stakeholders, and complaints. Student and stakeholder dissatisfaction indicators might include dropout rates, complaints, and absenteeism.

N2. Student and stakeholder satisfaction measurement might include both a numerical rating scale and descriptors assigned to each unit in the scale. An effective (actionable) student and stakeholder satisfaction measurement system is one that provides the

school with reliable information about student and stakeholder ratings of specific educational services and/or transactions. The measurement system also provides information on the relationship between these ratings and student learning and student/stakeholder future actions, such as transfer and positive referral.

N3. Student and stakeholder satisfaction and dissatisfaction results should be reported in Item 7.2. School faculty and staff-related results should be reported in Item 7.3.

For additional description of this Item, see page 24.

4 Information and Analysis (80 pts.)

The *Information and Analysis* Category examines the selection, management, and effectiveness of use of information and data to support key school processes and action plans, and the school's performance management system.

4.1 Selection and Use of Information and Data (25 pts.)

Approach - Deployment

Describe the school's selection, management, and use of information and data needed to support key school processes and action plans, and to improve school performance.

In your response, address the following Area:

a. Selection and Use of Information and Data

Describe:

- (1) the main types of information and data and how each type relates to key school processes and action plans;
- (2) how the information and data are deployed to all users to support the effective management and evaluation of key school processes;
- (3) how key user requirements, including rapid access, ongoing reliability, and confidentiality are met; and
- (4) how information and data, their deployment, and effectiveness of use are evaluated, improved, and kept current with changing needs.

Notes:

N1. Users [4.1a(2,3)] refers to school work units and to those outside the school who have access to information and data — students and stakeholders, as appropriate.

N2. Deployment of information and data might be via electronic or other means. Reliability [4.1a(3)] includes reliability of software and delivery systems.

For additional description of this Item, see pages 24-25.

4.2 Selection and Use of Comparative Information and Data (15 pts.)

Approach - Deployment

Describe the school's selection, management, and use of comparative information and data to improve the school's overall performance.

In your response, address the following Area:

a. Selection and Use of Comparative Information and Data

Describe:

- (1) how needs and priorities for comparative information and data are determined, taking into account key school processes, action plans, and opportunities for improvement;
- (2) the school's criteria and methods for seeking sources of appropriate comparative information and data — from within and outside the academic community;
- (3) how comparative information and data are deployed to all potential users and used to set stretch targets and/or to stimulate innovation; and
- (4) how comparative information and data, their deployment, and effectiveness of use are evaluated and improved. Describe also how priorities and criteria for selecting benchmarks and comparisons are kept current with changing needs and strategies.

Note:

Comparative information and data include benchmarking and competitive comparisons. Benchmarking refers to processes and results that represent best practices and performance for similar activities, inside

or outside the academic community. Competitive comparisons refer to performance relative to comparable schools and/or student populations and to competing schools, as appropriate.

For additional description of this Item, see page 25.

4.3 Analysis and Review of School Performance (40 pts.)

Approach - Deployment

Describe how the school analyzes and reviews overall performance to assess progress relative to plans and goals and to identify key opportunities for improvement.

In your response, address the following Areas:

a. Analysis of Data

How performance data from all parts of the school are integrated and analyzed to assess overall school performance in key areas. Describe how the principal educational progress and operational performance measures are integrated and analyzed to determine:

- (1) student and student group performance;
- (2) school program performance;
- (3) performance of students, student groups, and school programs relative to appropriately selected schools;
- (4) school operational performance; and
- (5) school operational performance relative to comparable schools.

b. Review of School Performance

Describe:

- (1) how school performance and capabilities are reviewed to assess progress relative to action plans, goals, and changing needs. Describe the performance measures regularly reviewed by the school's senior leaders.
- (2) how review findings are translated into priorities for improvement, decisions on resource allocation, and opportunities for innovation. Describe also how these findings are deployed throughout the school and, as appropriate, to the school's stakeholders and/or partners.

Notes:

N1. Analysis includes trends, projections, comparisons, and cause-effect correlations intended to support the setting of priorities for resource use. Accordingly, analysis draws upon all types of data: student, student group, school program, and operational performance.

N2. Student and school performance results should be reported in Items 7.1, 7.2, 7.3, and 7.4.

For additional description of this Item, see page 25.

5 Faculty and Staff Focus (100 pts.)

The *Faculty and Staff Focus* Category examines how the school enables faculty and staff to develop and utilize their full potential, aligned with the school's objectives. Also examined are the school's efforts to build and maintain an environment and climate conducive to performance excellence, full participation, and personal and organizational growth.

5.1 Work Systems (40 pts.)

Approach - Deployment

Describe how all faculty and staff contribute to achieving the school's performance and student focus objectives through the school's work design, and compensation and recognition approaches.

In your response, address the following Areas:

a. Work Design

How work and jobs are designed and how faculty and staff, including all managers and supervisors, contribute to ensure:

- (1) design, management, and improvement of school work processes that support school action plans and related faculty and staff resource plans. Include how work processes focus on student achievement and needs. Address faculty and staff work processes separately, as appropriate.
- (2) communications, cooperation, and knowledge and skill sharing across work functions, units, and locations; and
- (3) flexibility, rapid response, and learning in addressing current and changing student, stakeholder, and operational requirements.

b. Compensation and Recognition

How the school's compensation and recognition approaches for individuals and groups, including all managers and supervisors, reinforce overall school objectives for student learning, performance improvement, and faculty and staff development. Describe significant differences, if any, among different categories or types of faculty and staff.

Notes:

N1. For purposes of the Criteria, staff include the school's permanent, temporary, and part-time personnel, as well as any contract employees or volunteers supervised by the school. Any contract employees supervised by the contractor should be addressed in Item 6.2.

N2. Work design refers to how faculty and staff are organized and/or organize themselves in formal and informal, temporary, or longer-term units. This includes work teams, problem-solving teams,

functional units, cross-functional teams, and departments — self-managed or managed by supervisors. Job design refers to responsibilities, authorities, and tasks of individuals.

N3. Compensation and recognition refer to all aspects of pay and reward, including promotions and bonuses that might be based upon performance, skills acquired, and other factors. This includes monetary and non-monetary, formal and informal, and individual and group compensation and recognition.

For additional description of this Item, see page 26.

5.2 Faculty and Staff Education, Training, and Development (30 pts.)

Approach - Deployment

Describe how the school's education and training support the accomplishment of key school action plans and address school needs, including building knowledge, skills, and capabilities, and contributing to improved faculty and staff performance and development.

In your response, address the following Area:

a. Faculty and Staff Development

Describe:

- (1) how education and training support the school's key action plans and address school needs, including student achievement and faculty and staff personal growth;
- (2) how faculty and staff education and training are designed to support the school's work systems. Include how the school seeks input from faculty and staff and their supervisors/managers in education and training design;
- (3) how education and training, including orientation of new faculty and staff, are delivered;
- (4) how knowledge and skills are reinforced on the job; and
- (5) how education and training are evaluated and improved, taking into account school performance, faculty and staff performance, personal development, and other factors, as appropriate.

Notes:

N1. Education and training delivery [5.2a(3)] might occur inside or outside the school and involve on-the-job, classroom, computer-based, distance learning, or other types of delivery.

N2. Other factors [5.2a(5)] might include: effectiveness of incentives in promoting skill building; benefits and costs of education and training; most effective means and timing for training delivery; and effectiveness of cross-training.

For additional description of this Item, see page 26.

5.3 Faculty and Staff Well-Being and Satisfaction (30 pts.)

Approach - Deployment

Describe how the school maintains a work environment and work climate that support the well-being, satisfaction, and motivation of faculty and staff.

In your response, address the following Areas:

a. Work Environment

How the school maintains a safe and healthful work environment. Describe how health, safety, and ergonomics are addressed in improvement activities. Briefly describe key measures and targets for each of these environmental factors, and how faculty and staff take part in establishing these measures and targets. Note significant differences, if any, based upon different work environments for faculty and staff groups or work units.

b. Work Climate

How the school builds and enhances its work climate for the well-being, satisfaction, and motivation of all faculty and staff. Describe:

- (1) school services, benefits, and actions to support faculty and staff; and
- (2) how senior leaders, managers, and supervisors encourage and motivate faculty and staff to develop and utilize their full potential.

c. Faculty and Staff Satisfaction

How the school assesses the work environment and work climate. Include:

- (1) a brief description of formal and/or informal methods and measures used to determine the key factors that affect faculty and staff well-being, satisfaction, and motivation. Note important differences in methods, factors, or measures for different categories or types of faculty and staff, as appropriate; and
- (2) how the school relates faculty and staff well-being, satisfaction, and motivation results to key performance results and/or objectives to identify improvement priorities.

Notes:

N1. Approaches for supporting and enhancing faculty and staff well-being, satisfaction and motivation [5.3b(1)] might include: counseling; career development and employability services; recreational or cultural activities; non-work-related education; day care; special leave for family responsibilities and/or community service; safety off the job; flexible work hours; outplacement; and retiree benefits, including extended health care.

N2. Specific factors that might affect well-being, satisfaction, and motivation [5.3c(1)] include: effective faculty and staff problem or grievance resolution; safety factors; faculty and staff views of administration; faculty and staff training, development, and career

opportunities; faculty and staff preparation for changes in technology or work organization; work environment and other work conditions; work load; cooperation and teamwork; recognition; benefits; communications; job security; compensation; equal opportunity; and capability to provide required services to students and stakeholders.

N3. Measures and/or indicators of well-being, satisfaction, and motivation (5.3c) might include: safety; absenteeism; turnover; grievances; strikes; other job actions; worker's compensation claims; and results of surveys. Results relative to such measures and/or indicators should be reported in Item 7.3.

For additional description of this Item, see page 26.

6 Educational and Support Process Management (100 pts.)

The *Educational and Support Process Management* Category examines the key aspects of process management, including learning-focused education design, education delivery, school services, and operations. The Category examines how key processes are designed, implemented, managed, and improved to achieve better performance.

6.1 Education Design and Delivery (60 pts.)

Approach - Deployment

Describe how educational programs and offerings are designed, implemented, and improved. Describe also how delivery processes are designed, implemented, managed, and improved.

In your response, address the following Areas:

a. Education Design

How educational programs and offerings are designed and implemented. Describe how the school ensures that all programs, offerings, and experiences:

- (1) address student educational and well-being needs, meet high standards, and focus on active learning, anticipating and preparing for individual differences in student learning rates and styles;
- (2) address sequencing and offering linkages;
- (3) include a measurement plan that makes effective use of formative and summative assessment; and
- (4) have properly prepared faculty.

b. Education Delivery

How the school ensures that ongoing educational programs and offerings meet design requirements. Include:

- (1) what observations, measures, and/or indicators are used and who uses them;
- (2) how the observations, measures, and/or indicators are used to provide timely information to help students and faculty; and
- (3) how educational programs and offerings are evaluated and improved. Describe how each of the following is used or considered: (a) information from students, families, feeder schools, and/or receiving schools; (b) benchmarking best practices in education and other fields; (c) use of assessment results; (d) peer evaluation; (e) research on learning, assessment, and instructional methods; (f) information from employers and governing bodies; and (g) use of new learning technology. Include a description of how improvements are shared among and integrated into school units or departments.

Notes:

N1. Educational programs and offerings may include courses, research, co-op projects, overseas studies, etc. Education should be interpreted broadly. It includes programs and offerings in trade schools, art and music schools, and other specialized schools.

N2. Education design might take into account distance learning and making offerings available at different locations and times to meet student needs.

N3. Sequencing and offering linkages [6.1a(2)] include not only relationships within a single discipline, but also relationships to related disciplines.

N4. A measurement plan [6.1a(3)] should be holistic and define what is to be assessed and measured; how and when assessments and measurements are to be

made; and how the results will be used. For educational programs and offerings, measurements and observations should include key learning and developmental dimensions, e.g., enabling early intervention when learning is not progressing adequately.

N5. Proper preparation of faculty [6.1a(4)] should reflect subject matter expertise as well as training/experience in teaching strategies, facilitation skills, learning assessment, understanding how to recognize and use learning research theory information, and reporting information and data on student progress.

N6. Education delivery refers to instructional approaches — modes of teaching and organizing activities and experiences so that learning takes place.

N7. Area 6.1b relates basically to *quality assurance*. In addition to assessment results, observations, measures, and/or indicators [6.1b(1)] might include enrollment and participation figures, student evaluation of course/instructor, success rates, attendance rates, dropout rates, counselor information, advanced study rates, complaints, feedback from students and families, and formal classroom observation by school leaders.

N8. Observations, measures, and/or indicators [6.1b(2)] should reveal whether or not the programs or offerings require *corrective action*. The role of 6.1b(3) is ongoing improvement to achieve better performance. Periodically, programs and offerings might need to be changed or redesigned.

N9. Results of improvements in student performance should be reported in Item 7.1.

For additional description of this Item, see page 27.

6.2 Education Support Processes (40 pts.)

Approach - Deployment

Describe how the school's education support processes are designed, implemented, managed, and improved.

In your response, address the following Area:

a. Management of Education Support Processes

How key education support processes are designed, implemented, managed, and improved so that current and future requirements are met. Include:

- (1) how key requirements are determined or set, taking into account the needs of students, faculty, and other stakeholders;
- (2) how key support processes are designed and implemented to meet student, faculty and staff, and operational requirements;
- (3) a description of the key education support processes and their principal requirements and measures;
- (4) how the processes are managed to maintain process performance and to ensure results will meet student, faculty and staff, and operational requirements. Include a description of key in-process measurements and/or student, faculty and staff information gathering, as appropriate; and
- (5) how the processes are evaluated and improved to achieve better performance.

Notes:

N1. Education support processes are those that support the school's overall education activities. This includes student support services such as counseling, advising, placement, tutorial, and libraries and information technology. It also includes recruitment, enrollment, registration, accounting, plant and facilities management, secretarial and other

administrative services, security, marketing, information services, public relations, food services, health services, transportation, housing, central receiving, bookstores, and purchasing.

N2. Key education support process performance and improvement results should be reported in Item 7.4.

For additional description of this Item, see page 27.

7 School Performance Results (450 pts.)

The *School Performance Results* Category examines student performance, student and stakeholder satisfaction, faculty and staff results, and school-specific performance. Also examined are performance levels relative to comparable schools and/or appropriately selected organizations.

7.1 Student Performance Results (150 pts.)

Results

Summarize student performance results.

In your response, address the following Area:

a. Student Performance Results

Summarize current levels and trends in key measures and/or indicators of student performance. Separately address different student groups, as appropriate. Include data showing how student performance and performance trends compare with comparable schools and/or appropriately selected student populations.

Notes:

N1. Results reported might be based upon a variety of assessment methods that reflect the school's primary improvement objectives and together represent holistic appraisals of students. For some measures and/or assessment methods, data might not yet be sufficient to demonstrate meaningful trends. Such data should be reported nevertheless, as they provide useful information regarding the school's current performance levels.

N2. Results may include data indicating performance of recent graduates.

N3. Demonstrations of improvement in student performance should be normalized to comparable student populations. Methods might involve longitudinal studies and cohort studies. Results covering three years or more are preferred.

N4. Comparisons should include a brief description of how the appropriateness of each comparison is ensured. Comparable schools might include similar types/sizes, both domestic and international, as well as schools serving similar populations of students.

For additional description of this Item, see page 28.

7.2 Student and Stakeholder Satisfaction Results (100 pts.)

Results

Summarize the school's student and stakeholder satisfaction and dissatisfaction results.

In your response, address the following Area:

a. Student and Stakeholder Satisfaction Results

Summarize current levels and trends in key measures and/or indicators of satisfaction and dissatisfaction of current and past students and key stakeholders, including satisfaction relative to comparable schools.

Notes:

N1. Results reported in this Item derive from methods described in Items 3.1 and 3.2.

N2. Results data might include student/stakeholder feedback and their overall assessment of education/operations.

N3. Examples of student/stakeholder dissatisfaction indicators are given in Item 3.2, Note 1.

N4. Current levels and trends in key measures and/or indicators of student satisfaction relative to comparable schools might address gains and losses of students to other schools or to alternative means of education,

such as home schooling or corporate educational programs. Results might also include objective information and/or data from independent organizations, including key stakeholders.

N5. Objective information and/or data from independent organizations, including key stakeholders, might include survey results, competitive awards, recognition, and ratings. The information and/or data should reflect comparative satisfaction (and dissatisfaction), not comparative performance of students. Information on comparative performance of students should be included in Item 7.1.

For additional description of this Item, see page 28.

7.3 Faculty and Staff Results (100 pts.)

Results

Summarize the school's faculty- and staff-related results, including faculty and staff well-being, satisfaction, and development.

In your response, address the following Area:

a. Faculty and Staff Results

Summarize current levels and trends in key measures and/or indicators of faculty and staff well-being, satisfaction, and development. Address all categories and types of faculty and staff, as appropriate. Include appropriate comparative data.

Notes:

N1. The results reported in this Item should address results from activities described in Category 5. The results should be responsive to key process needs described in Category 6, and the school action plans and related faculty and staff resource plans described in Item 2.2.

N2. Appropriate measures of faculty and staff well-being, satisfaction, and motivation are given in Item 5.3, Note 3. Appropriate measures and/or indicators of faculty and staff development and effectiveness might include innovation and suggestion rates, courses or educational programs completed, learning, on-the-job performance improvements, and cross-training.

For additional description of this Item, see page 28.

7.4 School-Specific Results (100 pts.)

Results

Summarize key school performance results that contribute to enhanced learning and/or operational effectiveness.

In your response, address the following Area:

a. School-Specific Results

Summarize key school performance results that contribute to enhanced learning and/or operational effectiveness, including school capacity to improve student performance, educational climate, and indicators of operating cost and responsiveness. For all measures and/or indicators of performance, provide current levels and trends. Include appropriate comparative data.

Notes:

N1. Results reported in Item 7.4 should address key school requirements and progress toward accomplishment of key school performance goals as presented in the School Overview and Items 1.1, 2.2, 6.1, and 6.2. Include results not reported in Items 7.1, 7.2, and 7.3.

N2. Results reported in Item 7.4 should provide key information for analysis and review of school

performance (Item 4.3) and should provide the operational basis for improved student and school performance results (Items 7.1, 7.2, and 7.3).

N3. Regulatory/legal compliance results reported in Item 7.4 should address requirements described in Item 1.2.

For additional description of this Item, see page 28.

1999 EDUCATION CRITERIA: ITEM DESCRIPTIONS AND COMMENTS

Leadership (Category 1)

Leadership is the focal point within the Criteria for addressing how the school's senior leaders guide the school in setting directions, seeking future opportunities, and building and sustaining a learning environment. Primary attention is given to how the senior leaders create a leadership system based upon clear values and high performance expectations that address the needs of all stakeholders. The Category also includes the school's responsibilities to the public and how the school practices good citizenship.

1.1 Leadership System

This Item addresses how the school's senior leaders set directions and sustain a leadership system conducive to high performance, individual development, initiative, organizational learning, and innovation. The Item asks how leadership takes into account the needs and expectations of all key stakeholders. Key stakeholders might include families, employers, and other schools. In many cases, the leadership system would include not only those who have day-to-day responsibility to manage the school but also the oversight entities such as school boards or trustees.

The Item calls for information on the major aspects of leadership — creating values and expectations; setting directions; projecting and communicating a strong focus on students and learning; encouraging innovation; developing and maintaining an effective leadership system; and effectively communicating values, directions, and expectations. Setting directions includes creating future opportunities for the school and its stakeholders. An effective leadership system promotes continuous learning, not only to improve overall performance, but also to involve all faculty/staff in the ongoing challenge to enhance student/stakeholder value. To be successful, leadership must ensure that the school captures and shares learnings. Leadership's communications are critical to school success. Effective communication includes ongoing demonstration that stated values, directions, and expectations are indeed the basis for the school's key decisions and actions.

This Item asks how leaders maintain a climate conducive to learning. Important parts of this climate are safety and equity. Equity refers to opportunities and benefits fairly distributed among different population groups. Communications also need to include performance objectives and related measures that help provide focus as well as integration and alignment among school units and activities.

This Item also includes the senior leaders' role in reviewing the leadership system, using faculty/staff feedback, and reviewing overall school performance. This aspect of leadership is crucial, not only because reviews help provide

focus on student learning, but also because reviews are an effective means for early detection of problems and timely redirection of resources, which usually requires leadership support and involvement. A major aim is to create schools that are flexible and responsive — changing easily to adapt to new needs and opportunities. Through their roles in developing strategy and reviewing school performance, senior leaders develop leadership and create schools capable of adapting to changing opportunities and requirements.

1.2 Public Responsibility and Citizenship

This Item addresses how the school integrates its values and expectations regarding its social responsibilities and community involvement into its performance management practices.

Area 1.2a calls for information on the school's practices relative to risks and legal responsibilities — those associated with school operations, management of funds, regulatory requirements, and related concerns. Schools face numerous responsibilities in day-to-day operations. This includes student safety, equity in hiring, and ethical practices in fund management and athletic programs. Relevant information relates to how the school makes risk factors and legal and ethical requirements an integral part of performance improvement and how the school maintains sensitivity to issues of societal concern, whether or not these issues are currently embodied in law.

Area 1.2b calls for information on how the school practices good citizenship in its key communities as a contributing member and as a positive influence upon other schools. Opportunities for involvement and leadership include efforts by the school, its senior leaders, and its faculty/staff to strengthen community services, the environment, athletic associations, and professional associations. Some of the activities appropriate for inclusion might involve partnering with other organizations, sometimes through use of school facilities. *Levels of involvement and leadership are dependent upon school size and resources.*

Strategic Planning (Category 2)

Strategic Planning addresses all aspects of school-level planning and the deployment of plans. This includes primarily the development and deployment of key educational and other mission-related requirements, taking into account the needs of students and other key stakeholders.

The Criteria emphasize that performance improvement should be part of daily work of all school units. The special roles of the Strategic Planning Category are: (1) to provide a results-oriented focus, accommodating to change; and (2) to align daily work with school directions.

The Strategic Planning Category examines how schools:

- understand key student and stakeholder and societal requirements as input to setting directions. This is to help ensure that ongoing process improvements are aligned with the school's strategic directions.
- optimize the use of resources, ensure faculty and staff capability, and ensure bridging between short- and longer-term requirements; and
- ensure that plan deployment will be effective — that there are mechanisms to communicate requirements and achieve overall alignment.

The Strategic Planning Category requirements are intended to encourage strategic thinking and acting, and to bring about key alignments in support of goals. *These requirements do not imply formalized plans, planning systems, departments, or specific planning cycles.* Also, the Category does not imply that all improvements could or should be planned in advance. Rather, the requirements in the Category imply that the school maintain a future-oriented basis for decisions and priorities.

2.1 Strategy Development Process

This Item addresses how the school develops its view of the future, sets directions, and translates these directions into a clear basis for communicating, deploying, and aligning critical requirements. Alignment refers to effective integration of faculty development, curriculum, instruction, and assessment.

The Item calls for information on all the key influences, challenges, and requirements that might affect the school's future directions and decisions — taking as long a view as possible. The main purpose of the Item is to provide a thorough and realistic context for the development of educational services and for the overall management of the school. The Item addresses student and stakeholder needs and expectations and external factors affecting the school. This includes changing requirements brought about by other schools, employers, educational mandates, instructional technology, changing demographics, and changing student career interests. Also addressed are important internal factors, such as faculty and staff capabilities and needs. Especially important here is the need to assess student learning relative to key outcomes the school seeks to achieve.

2.2 School Strategy

This Item addresses the school's strategy and action plans and how they are deployed. The Item also calls for a projection of the school's performance. The main intent of the Item is effective operationalizing of action plans, incorporating measures that permit clear communication and tracking of progress and performance.

Area 2.2a calls for information on the school's action plans and how these plans are deployed. This includes spelling out critical action plan requirements such as faculty and staff development plans and needs; use of learning technologies, key measures and indicators; and how resources are deployed, aligned, and tracked. Of critical importance in this Area is how alignment and consistency are achieved — for example, in key learning strategies and key measurements. The alignment and consistency are intended also to provide a basis for setting priorities for ongoing improvement activities.

Critical action plan requirements include faculty/staff resource plans to support the overall strategy. Examples of faculty/staff resource plan elements that might be part of a comprehensive plan are:

- education and training of faculty in outcomes assessment practices and student learning styles;
- introduction of quality improvement initiatives;
- initiatives with the business community to support faculty development; and
- redesign of staff work organizations and/or jobs to increase staff responsibility and decision making.

Area 2.2b calls for a two-to-five year projection of key measures and/or indicators of the school's performance. It also calls for comparison of projected performance relative to past performance and relative to comparable schools and benchmarks. This projection/comparison is intended to encourage schools to improve their ability to understand and track dynamic performance factors and to take into account rates of improvement and change relative to others as a diagnostic management tool.

Student and Stakeholder Focus (Category 3)

Student and Stakeholder Focus is the Criteria Category that examines how the school seeks to understand the needs of current and future students and of its stakeholders on an ongoing basis. The Category stresses the importance of school relationships and of the use of an array of listening and learning strategies. Although many of the needs of stakeholders must be translated into educational services for students, the stakeholders themselves have needs that schools must also accommodate. A key challenge to schools frequently may be to balance differing needs and expectations of students and stakeholders and among stakeholders themselves.

3.1 Knowledge of Student Needs and Expectations

This Item addresses how the school determines the needs and expectations of its current and future students to maintain a climate conducive to learning for all students.

Student needs, as addressed in this Item, should take into account information not only from students but also from families, employers, and other schools, as appropriate. Student needs should be interpreted in a holistic sense to include knowledge, application of knowledge, problem-solving, and learning skills.

A variety of listening and learning strategies should be considered. Selection depends on the type and size of school and other factors.

Examples of approaches that might be part of listening and learning strategies are:

- relationship building with students, families, businesses, and other stakeholders;
- close tracking of technological, societal, environmental, economic, and demographic factors that may bear upon student/stakeholder requirements, expectations, preferences, or alternatives;
- seeking to understand in detail students' expectations and needs and how they are likely to change;
- focus groups with students/stakeholders; and
- analysis of major factors affecting students/stakeholders.

This Item seeks information on how the school maintains awareness of key general and special needs and expectations of current students. Such needs and expectations cover all aspects of education content and delivery, as well as the learning environment, including safety. An important part of this information comes from the school's observations of student utilization of offerings, facilities, and services to determine their influence on active learning.

This Item also examines how the school determines and anticipates changing needs and expectations for future students. This determination should take into account the following: demographic data and trends; changing requirements of graduates in the workplace or other schools; changing local, state, national, and global requirements; and educational alternatives for prospective students. Also examined is how the school analyzes the overall information to develop actionable data for planning.

3.2 Student and Stakeholder Satisfaction and Relationship Enhancement

This Item addresses how the school determines and enhances the satisfaction of its students and stakeholders to build relationships to improve educational services and to support related planning.

Area 3.2a calls for information on how the school provides for effective relationships with key stakeholders to enhance its ability to improve educational services. Since stakeholders may differ in many ways, the Area seeks information

segmented by main stakeholder types. For each stakeholder type, this information should cover: key objectives of the relationship; key needs of the stakeholder and how these needs are determined and kept current; and the key needs of the school and how these needs are communicated to the stakeholders. Area 3.2a also addresses how the school maintains effective stakeholder relationships. Four key aspects of relationship building are addressed: regular and special access needs; proactive follow-ups with stakeholders; key measures and/or indicators used to monitor the effectiveness of key relationships; and how the school develops partnerships with key stakeholders to pursue common purposes.

Area 3.2b addresses how the school determines student and stakeholder satisfaction and dissatisfaction for use in improving the school's ability to improve educational and support services.

The first part of the Area addresses students and requests information on processes, measurement scales, and data used, and how objectivity and reliability are ensured. A critical part of this process is how the school's measurements capture key information that bears upon students' motivation and active learning. This requires an ongoing search for the key dimensions of satisfaction and dissatisfaction — those factors that best correlate with motivation and learning. Also examined is how the school determines student satisfaction relative to comparable schools. Such comparisons may offer important insights to help the school improve its motivational climate.

The second part of the Area addresses key stakeholders and requests information on processes and measurement scales, and how objectivity and reliability are ensured. Also examined are how satisfaction measurements relate to the school's education climate and to student and stakeholder needs and how stakeholder satisfaction compares with comparable schools.

Information and Analysis (Category 4)

Information and Analysis is the main point within the Criteria for all key information to effectively manage the school and to drive performance improvement. The Category addresses all basic performance-related information and comparative information as well as how such information is analyzed and used to optimize school performance.

4.1 Selection and Use of Information and Data

This Item addresses the school's selection, management, and use of information and data to support overall school goals, with strong emphasis on action plans and performance improvement. Performance improvement depends heavily upon information and data that relate to all aspects of school operations.

The Item examines the key factors in the effective selection and use of data: (1) the main types of information and data and how each type relates to key school processes and action plans; (2) how information and data are made available to all users to support effective day-to-day management and evaluation of key processes; (3) how key user requirements — rapid access, reliability, and confidentiality — are met; and (4) how all aspects of data and information — selection, deployment, and user requirements — are evaluated and improved and kept current with changing needs.

4.2 Selection and Use of Comparative Information and Data

This Item addresses external drivers of improvement — data and information related to best practices, new practices, and performance of comparable schools and other organizations.

The Item examines the key factors in the selection and use of comparative information and data: (1) how needs and priorities for comparative information and data are determined and how such determination takes into account key school processes, action plans, and opportunities for improvement; (2) the school's criteria and methods for seeking sources of comparative information and data, including its sensitivity to looking outside the academic community; (3) how comparative information and data are deployed and used to drive improvement; and (4) how all aspects of comparative information and data — selection, deployment, and user requirements — are evaluated and improved and kept current with changing needs.

The major premises underlying this Item are: (1) schools need to “know where they stand” relative to comparable schools and/or other organizations; (2) comparative and benchmarking information often provide impetus for major change and improvement, and might signal changes taking place in educational practices; and (3) schools need to understand their own processes and the processes of others before they compare performance levels.

4.3 Analysis and Review of School Performance

This Item addresses school-level analysis of overall performance — the principal basis for guiding the school's processes toward key results. The Item links analysis and performance review to help ensure that analysis is kept relevant to decision making.

Area 4.3a examines how information and data from all parts of the school are integrated and analyzed to assess performance. Five key aspects of school performance are addressed: (1) student and student groups; (2) school programs; (3) student, student group, and school programs relative to comparable schools; (4) school operational performance; and (5) school operational performance relative to comparable schools.

Analyses that schools carry out to gain understanding of performance vary widely. Selection depends upon many factors, including school type, size, and relationship to other schools. Examples include:

- trends in key indicators of student motivation such as absenteeism, dropout rates, and use of educational facilities;
- test performance trends for students, segmented by student groups, as appropriate;
- relationships between in-school outcomes/performance and longer-range outcomes — in other schools or in the workplace, for example;
- activity-level cost trends in school operations;
- student utilization of learning technologies and/or facilities versus assessment performance;
- relationships between student background variables and outcomes;
- relationships between student allocation of time to activities and projects and academic performance;
- percentage of students attaining industry-based and/or profession-based skill certification; and
- percentage of students completing advanced mathematics and science courses by graduation.

Area 4.3b examines how the school reviews performance and capabilities and uses the review findings to improve performance and capabilities relative to goals and plans. Such reviews also need to take into account changing educational and operational needs. The Area also addresses how review findings are translated into priorities for improvement — sufficiently specific for effective deployment throughout the school and to appropriate stakeholders and partners.

Overall, Item 4.3 represents the basis for judging institutional effectiveness, including use of all resources.

Faculty and Staff Focus (Category 5)

Faculty and Staff Focus is the location within the Criteria for all key human resource issues and practices, those directed toward creating a school environment with a strong focus on students and learning, and toward developing faculty/staff that enable them and the school to adapt to change. It addresses these in an integrated way, aligned with the school's mission and strategy. To emphasize this key alignment, the Strategy Development Process (Item 2.1) includes faculty and staff capabilities and needs as key planning considerations.

5.1 Work Systems

This Item addresses how the school's work and job design, compensation, and recognition approaches enable and encourage all faculty and staff to contribute fully and effectively. Because of differing responsibilities, work organizations, compensation, and recognition systems might differ greatly between faculty and staff units or among faculty units.

Area 5.1a addresses how work processes focus on student achievement and needs and on communications, cooperation, and knowledge and skill sharing. This might involve the use of teams, in some cases involving paraprofessionals and adjunct faculty. Also addressed are flexibility, rapid response, and learning to accommodate to changing needs and operational requirements. Also important is effective communication across school work organizations to ensure a focus on students and learning, and to ensure an environment of encouragement, trust, and mutual commitment.

Area 5.1b addresses the important alignment of incentives with work and job design. The basic thrust of this Area is the need for consistency between the school's compensation and recognition system and work structures and processes.

The Area calls for information on faculty and staff compensation and recognition — how these reinforce student achievement and school performance improvement. To be effective, compensation and recognition might need to be based, wholly or in part, upon demonstrated skills and/or evaluation by peers in teams.

5.2 Faculty and Staff Education, Training, and Development

This Item examines how the school develops faculty and staff via education, training, and other developmental approaches, formal and informal.

Education and training address the knowledge and skills faculty and staff need to meet overall school and personal objectives. Education and training needs might vary greatly depending upon many factors, especially specific faculty and staff responsibilities. Examples include assessment practices, learning styles, problem solving, teamwork, leadership skills, communications, interpreting and using data, use of new technology, process analysis, and other training that affects faculty and staff effectiveness and safety.

The Item calls for basic information on the key factors in an effective education and training approach ranging from the linkage between education and training to school action plans to the evaluation and improvement of the education and training, taking into account school performance,

faculty and staff performance, and personal development of faculty and staff. This includes appropriate orientation of new faculty and staff.

The Item also emphasizes evaluation of education and training. Such evaluation might take into account faculty and staff self-evaluation. Evaluation might also address factors such as the effectiveness of education and training delivery, impact on the organizational unit, and school performance.

5.3 Faculty and Staff Well-Being and Satisfaction

This Item addresses the work environment and work climate that support and enhance the well-being, satisfaction, and motivation of faculty and staff.

Area 5.3a calls for information on how the school maintains a safe and healthful work environment and how it includes such considerations in its improvement activities. As the safety and health of faculty and staff depend significantly upon specific work environments and responsibilities, it is important to view such factors separately and to segment measures and data accordingly, addressing the principal safety and health issues associated with each work unit.

Area 5.3b calls for information on the school's work climate and how the school seeks to build and enhance the well-being, satisfaction, and motivation of all faculty and staff. Examined are the school's services, benefits, and actions to support faculty and staff and a summary of how the school's leadership encourages and supports faculty and staff to develop and utilize their full potential.

Area 5.3c calls for information on how the school assesses its work environment and work climate and determines faculty and staff well-being, satisfaction, and motivation. The Area recognizes that many factors affect well-being, satisfaction, and motivation, and that these factors are likely to differ greatly among faculty and staff groups. In addition to formal or informal survey results, other measures of satisfaction, well-being, and motivation might include directly measurable indicators such as safety, absenteeism, turnover, and grievances.

Area 5.3c also addresses how the school relates faculty and staff well-being, satisfaction, and motivation results to key school, work unit, and individual performance results to identify improvement priorities. Especially important here is the identification of the principal factors in the work environment that bear upon faculty and staff motivation. Factors inhibiting motivation need to be prioritized and addressed. Further understanding of these factors could be developed through exit interviews with departing faculty and staff.

Educational and Support Process Management (Category 6)

Educational and Support Process Management is the focal point within the Education Criteria for all key school processes. Built into the Category are the central requirements for efficient and effective process management — effective design, evaluation, continuous improvement, and focus on high performance.

6.1 Education Design and Delivery

This Item examines how the school designs, introduces, delivers, and improves its educational programs and offerings. It also examines how these programs and offerings are maintained to meet design requirements and further improved. The Item also examines organizational learning through a focus on how learnings in one school work unit are replicated and added to the knowledge base for other school units.

Area 6.1a calls for information on the design of educational programs and offerings. Four aspects of this design are addressed: (1) how student educational and well-being needs are addressed, with a strong focus on active learning and taking into account varying learning rates and styles; (2) how sequencing and offering linkages are addressed; (3) how design includes a measurement plan that makes use of formative and summative assessments; and (4) how the school ensures that faculty are properly prepared.

Design approaches might differ appreciably depending upon many factors including school mission, as well as student age, experience, and capability. Formative and summative assessments need to be tailored to the offering and program goals and might range from purely individualized to group-based.

Area 6.1b calls for information on program and offering delivery. Offering delivery refers to all strategies used to engage students in learning. Examined are the observations, measures, and/or indicators used and how these are used to provide timely information to help students and faculty. Differences among students must be a critical part of the evaluation of key educational processes. Among the key factors to be addressed in assessment are ensuring comparability among students and the relevance of assessment criteria to mission objectives. That is, assessment should be optimally related to the knowledge and skill requirements of offerings, and assessment should provide students and others with key information about what they know and are able to do.

Area 6.1b also calls for information on how processes are improved to achieve better performance. Better performance means not only better educational value for the student but also better operational performance from the point of view of the school. A wide variety of approaches

to improvement might be used, depending on the educational program and many student-specific factors. Area 6.1b requests information on how several approaches are used or considered: (a) information from students, families, feeder schools, and/or receiving schools; (b) benchmarking practices of other organizations; (c) use of assessment results; (d) peer evaluation; (e) research on learning, assessment, and instructional methods; (f) information from employers and governing bodies; and (g) use of new learning technology. In some cases, improvement of educational processes might entail complete redesign of programs and offerings in content, delivery, or both.

6.2 Education Support Processes

This Item addresses how the school designs, maintains, and improves its support processes. Support processes are those that support the school's overall education activities and operations. This includes learner support services such as counseling, advising, placement, tutorial, and libraries and information technology. It also includes, as appropriate, recruitment, enrollment, registration, accounting, plant and facilities management, secretarial and other administrative services, security, marketing, information services, public relations, food services, health services, transportation, housing, bookstores, and purchasing.

The Item calls for information on how the school designs, implements, manages, and improves support processes. Examined are: (1) how key support process requirements are determined or set, taking into account the needs of students, faculty, staff, and other key stakeholders; (2) how key support processes are designed and implemented; (3) the key processes themselves and their principal requirements and measures; (4) how the processes are managed on a day-to-day basis to ensure that they are meeting design requirements; and (5) how the processes are evaluated and improved to achieve better performance. Evaluation and improvement might entail the use of activity-level cost information.

School Performance Results (Category 7)

The School Performance Results Category provides a results focus for all school improvement activities, using a set of measures that reflect overall mission-related success. Category 7 thus provides “real-time” information — measures and indicators of progress — for evaluating and improving the effectiveness and efficiency of school services, aligned with the school's mission and strategy. The data called for in this Category are the major ingredients in Analysis and Review of School Performance (Item 4.3), which is intended to identify causal connections to support improvement activities, planning, and change. Overall, the four Items in the Category should provide a comprehensive and balanced view of the school's effectiveness in improving its performance, now and in the future.

7.1 Student Performance Results

This Item addresses the principal student performance results based upon mission-related factors and assessment methods. Critical to understanding the purposes of this Item are: (1) student performance should reflect holistic and mission-related results; (2) current levels and trends should be reported — the former to allow comparisons with other schools and/or student populations and the latter to demonstrate year-to-year improvement; and (3) data should be segmented by student group(s) to permit trends and comparisons that demonstrate the school's sensitivity to education improvement for all students. Overall, this Item is the most important one as it depends upon demonstrating improvement by the school over time and higher achievement levels relative to comparable schools and/or student populations.

Proper use of Item 7.1 depends upon appropriate normalization of data to compensate for initial differences in student populations. Although better admission criteria might contribute to improved education for all students, improved student performance based entirely upon changing students' entry-level qualifications should not be reported in Item 7.1. However, improvement trends in student admission qualifications are appropriate for inclusion in School-Specific Results (Item 7.4). Improvement in student performance beyond that which could be attributed to entry-level qualifications is appropriate for inclusion in Item 7.1, along with other measures and/or indicators of improvement trends and comparisons.

7.2 Student and Stakeholder Satisfaction Results

This Item addresses trends and levels in student and stakeholder satisfaction based on relevant measures and/or indicators, and addresses these results compared with comparable schools. Effectively used, satisfaction results provide important indicators of school effectiveness and improvement. Effective use entails understanding the key dimensions of satisfaction and dissatisfaction, recognition that satisfaction and dissatisfaction with school services and/or performance might differ among student and stakeholder groups, and that satisfaction/dissatisfaction might change over time, based on a longer-term perspective. The underlying purpose of the Item is not only to ensure that satisfaction levels provide a useful tool in assessing key climate factors that contribute to or inhibit education, but also to encourage inclusion of education and growth dimensions in satisfaction measurement. Satisfaction is thus principally an enabler, not an end in itself. Together, the results reported in Item 7.2 should help to guide action leading to improved student performance, recognizing that the action might address climate, curriculum, faculty development, and many other factors. The Item should not be interpreted as emphasizing “popularity” or other short-term, non-educational aims.

7.3 Faculty and Staff Results

This Item addresses the school's human resource results — those related to well-being, development, satisfaction, and performance of faculty and staff.

Results reported could include generic or school-specific human resource factors. Generic factors include safety, absenteeism, turnover, and satisfaction. School-specific factors might include those created by the school to measure progress against key goals. Results reported might include input data, such as extent of training and development, but should also include measures and/or indicators of effectiveness. Inclusion of demographic and financial data related to diversity/equity are appropriate for inclusion in this Item.

The Item calls for comparative information so that results can be evaluated relative to comparable institutions.

7.4 School-Specific Results

This Item addresses key performance results not covered in Items 7.1–7.3 that contribute significantly to the school's mission and goals. *The Item encourages the use of any common or unique measures the school uses to track performance in areas of importance to the school's mission and goals.*

Appropriate for inclusion are:

- measures of productivity and operational effectiveness, including timeliness;
- results of compliance and improvement in areas of regulation, athletic programs, etc.;
- improvements in admission standards;
- improvements in school safety and hiring equity;
- effectiveness of research and services;
- school innovations;
- utilization of school facilities by community organizations;
- contributions to community betterment;
- improved performance of administrative and other school support functions;
- cost containment; and
- redirection of resources to education from other areas.

The Item calls for comparative information so that results reported can be evaluated against other organizations. Such data might include results of surveys, peer ratings, etc.

SCORING SYSTEM

The scoring of responses to Criteria Items (Items) and Award applicant feedback are based on three evaluation dimensions: (1) Approach; (2) Deployment; and (3) Results. Criteria users need to furnish information relating to these dimensions. Specific factors for these dimensions are described below. Scoring Guidelines are given on page 30.

Approach

“Approach” refers to how you address the Item requirements — the *method(s)* used. The factors used to evaluate approaches include:

- appropriateness of the methods to the requirements
- effectiveness of use of the methods. Degree to which the approach:
 - is systematic, integrated, and consistently applied
 - embodies evaluation/improvement/learning cycles
 - is based on reliable information and data
- alignment with school needs
- evidence of innovation, including significant and effective adaptations of approaches used in other types of applications or sectors

Deployment

“Deployment” refers to the *extent* to which your approach is applied to all requirements of the Item. The factors used to evaluate deployment include:

- use of the approach in addressing Item requirements relevant to your school
- use of the approach by all appropriate work units

Results

“Results” refers to *outcomes* in achieving the purposes given in the Item. The factors used to evaluate results include:

- current performance
- performance relative to appropriate comparisons and/or benchmarks
- rate, breadth, and importance of performance improvements
- linkage of results measures to key student, stakeholder, process, and action plan performance requirements identified in the School Overview and in Approach/Deployment Items

Item Classification and Scoring Dimensions

Items are classified according to the kinds of information and/or data you are expected to furnish relative to the three evaluation dimensions.

The two types of Items and their designations are:

1. Approach/Deployment **Approach - Deployment**
2. Results **Results**

Approach and Deployment are linked to emphasize that descriptions of Approach should always indicate the

Deployment — consistent with the *specific requirements* of the Item. Although Approach and Deployment dimensions are linked, feedback to Award applicants reflects strengths and/or opportunities for improvement in either or both dimensions.

Results Items call for data showing performance levels and trends on key measures and/or indicators of school performance. However, the evaluation factor, “breadth” of performance improvements, is concerned with how widespread your improvement results are. This is directly related to the Deployment dimension. That is, if improvement processes are widely deployed, there should be corresponding results. A score for a Results Item is thus a weighted composite based upon overall performance, taking into account the breadth of improvements and their importance. (See next section.)

“Importance” as a Scoring Factor

The three evaluation dimensions described previously are critical to evaluation and feedback. However, evaluation and feedback also must consider the importance of your reported Approach, Deployment, and Results to your school. The areas of greatest importance should be identified in the School Overview and in Items such as 2.1, 3.1, 6.1, and 7.1. Your key student requirements and key strategies and action plans are particularly important.

Assignment of Scores to Your Responses

Baldrige Award Examiners observe the following guidelines in assigning scores to applicants’ responses:

- All Areas to Address should be included in the Item response. Also, responses should reflect what is important to the school;
- In assigning a score to an Item, an Examiner first decides which scoring range (e.g., 50% to 60%) best fits the overall Item response. Overall “best fit” does not require total agreement with each of the statements for that scoring range. Actual score *within* the range depends upon an Examiner’s judgment of the closeness of the Item response in relation to the statements in the next higher and next lower scoring ranges;
- An Approach/Deployment Item score of 50% represents an approach that meets the *basic* objectives of the Item and that is deployed to the principal activities and work units covered in the Item. Higher scores reflect maturity (cycles of improvement), integration, and broader deployment; and
- A Results Item score of 50% represents a clear indication of improvement trends and/or good levels of performance in the principal results areas covered in the Item. Higher scores reflect better improvement rates and/or levels of performance, and better comparative performance as well as broader coverage.

SCORING GUIDELINES

SCORE	APPROACH/DEPLOYMENT
0%	<ul style="list-style-type: none"> no systematic approach evident; anecdotal information
10% to 20%	<ul style="list-style-type: none"> beginning of a systematic approach to the basic purposes of the Item major gaps exist in deployment that would inhibit progress in achieving the basic purposes of the Item early stages of a transition from reacting to problems to a general improvement orientation
30% to 40%	<ul style="list-style-type: none"> a sound, systematic approach, responsive to the basic purposes of the Item approach is deployed, although some areas or work units are in early stages of deployment beginning of a systematic approach to evaluation and improvement of basic Item processes
50% to 60%	<ul style="list-style-type: none"> a sound, systematic approach, responsive to the overall purposes of the Item approach is well-deployed, although deployment may vary in some areas or work units a fact-based, systematic evaluation and improvement process is in place for basic Item processes approach is aligned with basic school needs identified in the other Criteria Categories
70% to 80%	<ul style="list-style-type: none"> a sound, systematic approach, responsive to the multiple requirements of the Item approach is well-deployed, with no significant gaps a fact-based, systematic evaluation and improvement process and organizational learning/sharing are key management tools; clear evidence of refinement and improved integration as a result of organizational-level analysis and sharing approach is well-integrated with school needs identified in the other Criteria Categories
90% to 100%	<ul style="list-style-type: none"> a sound, systematic approach, fully responsive to all the requirements of the Item approach is fully deployed without significant weaknesses or gaps in any areas or work units a very strong, fact-based, systematic evaluation and improvement process and extensive organizational learning/sharing are key management tools; strong refinement and integration, backed by excellent organizational-level analysis and sharing approach is fully integrated with school needs identified in the other Criteria Categories

SCORE	RESULTS
0%	<ul style="list-style-type: none"> no results or poor results in areas reported
10% to 20%	<ul style="list-style-type: none"> some improvements <i>and/or</i> early good performance levels in a few areas results not reported for many to most areas of importance to key school requirements
30% to 40%	<ul style="list-style-type: none"> improvements <i>and/or</i> good performance levels in many areas of importance to key school requirements early stages of developing trends and obtaining comparative information results reported for many to most areas of importance to key school requirements
50% to 60%	<ul style="list-style-type: none"> improvement trends <i>and/or</i> good performance levels reported for most areas of importance to key school requirements no pattern of adverse trends and no poor performance levels in areas of importance to key school requirements some trends <i>and/or</i> current performance levels — evaluated against relevant comparisons <i>and/or</i> benchmarks — show areas of strength <i>and/or</i> good to very good relative performance levels school performance results address most key student, stakeholder, and process requirements
70% to 80%	<ul style="list-style-type: none"> current performance is good to excellent in areas of importance to key school requirements most improvement trends <i>and/or</i> current performance levels are sustained many to most trends <i>and/or</i> current performance levels — evaluated against relevant comparisons <i>and/or</i> benchmarks — show areas of leadership and very good relative performance levels school performance results address most key student, stakeholder, process, and action plan requirements
90% to 100%	<ul style="list-style-type: none"> current performance is excellent in most areas of importance to the key school requirements excellent improvement trends <i>and/or</i> sustained excellent performance levels in most areas evidence of education sector and benchmark leadership demonstrated in many areas school performance results fully address key student, stakeholder, process, and action plan requirements

PREPARING THE SCHOOL OVERVIEW

The School Overview is an outline of your school. It should address what is most important to the school, key influences on how the school operates, and where the school is headed. *The School Overview is a statement of what is relevant and important to your school and its performance.*

The School Overview is critically important because:

- it is the most appropriate starting point for self-assessment and for writing an application. It helps you focus on key performance requirements and results; and
- it is used by the Examiners and Judges in all stages of application review and during the site visit.

Guidelines for Preparing the School Overview

The School Overview consists of five sections as follows:

1. Basic description of the school

This section should provide basic information on:

- the nature of the school's educational services;
- school size, location(s), and whether it is a public or private school;
- the school's major markets (local, regional, national, or international) and principal student types;
- a profile of the school's employee base, including: number, types, educational level, and bargaining units; and
- the regulatory environment affecting the school.

If the school is a subunit of a larger school or other organization, a brief description of the organizational relationship to the "parent" and percent of employees the subunit represents should be given. Briefly describe also how the school's services relate to those of the parent and/or other units of the parent organization. If the parent organization provides key support services, these should be described briefly.

2. Student and stakeholder requirements

This section should provide information on:

- key student and stakeholder requirements for services. Briefly describe all important requirements, and note significant differences, if any, in requirements among student and stakeholder groups.

3. Relationships to other schools or to other organizations

This section should provide information on:

- types and numbers of other schools with key linkages;
- the most important types of schools, businesses, or other organizations; and
- any limitations, special relationships, or special requirements that may exist with some or all schools, businesses, or other organizations.

4. Competitive factors

This section should provide information on:

- the school's position (relative size, growth) in the education sector;
- numbers and types of competitors;
- principal factors that determine competitive success; and
- changes taking place that affect competition.

5. Strategic context

This section should provide information, as appropriate, on:

- major new thrusts for the school, such as entry into new markets or segments;
- new alliances;
- introduction of new technologies;
- the role of and approaches to service innovation;
- changes in strategy; and
- unique factors.

Page Limit

For Baldrige Award applicants, the School Overview is limited to five pages. These are not counted in the overall application page limit. Typing instructions for the School Overview are the same as for the application. These instructions are given in the *1999 Application Forms & Instructions for Business, Education, and Health Care* booklet. Ordering information is given on page 44.

It is strongly recommended that the School Overview be prepared first and that it be used to guide the applicant in writing and reviewing the application.

1999 EDUCATION CRITERIA RESPONSE GUIDELINES

The guidelines given in this section are offered to assist Criteria users in responding most effectively to the requirements of the 18 Criteria Items. Writing an application for the Baldrige Award involves responding to these requirements in 50 or fewer pages.

The guidelines are presented in three parts:

- (1) General Guidelines regarding the Criteria booklet, including how the Items are formatted;
- (2) Guidelines for Responding to Approach/Deployment Items; and
- (3) Guidelines for Responding to Results Items.

General Guidelines

I. Read the entire Criteria booklet.

The main sections of the booklet provide an overall orientation to the Criteria, including how responses are evaluated. Users should be thoroughly familiar with the following sections:

- Education Criteria for Performance Excellence (pages 5-21)
- Scoring Information (pages 29-30)
- Glossary of Key Terms (pages 3-4)
- Item Descriptions and Comments (pages 22-28)

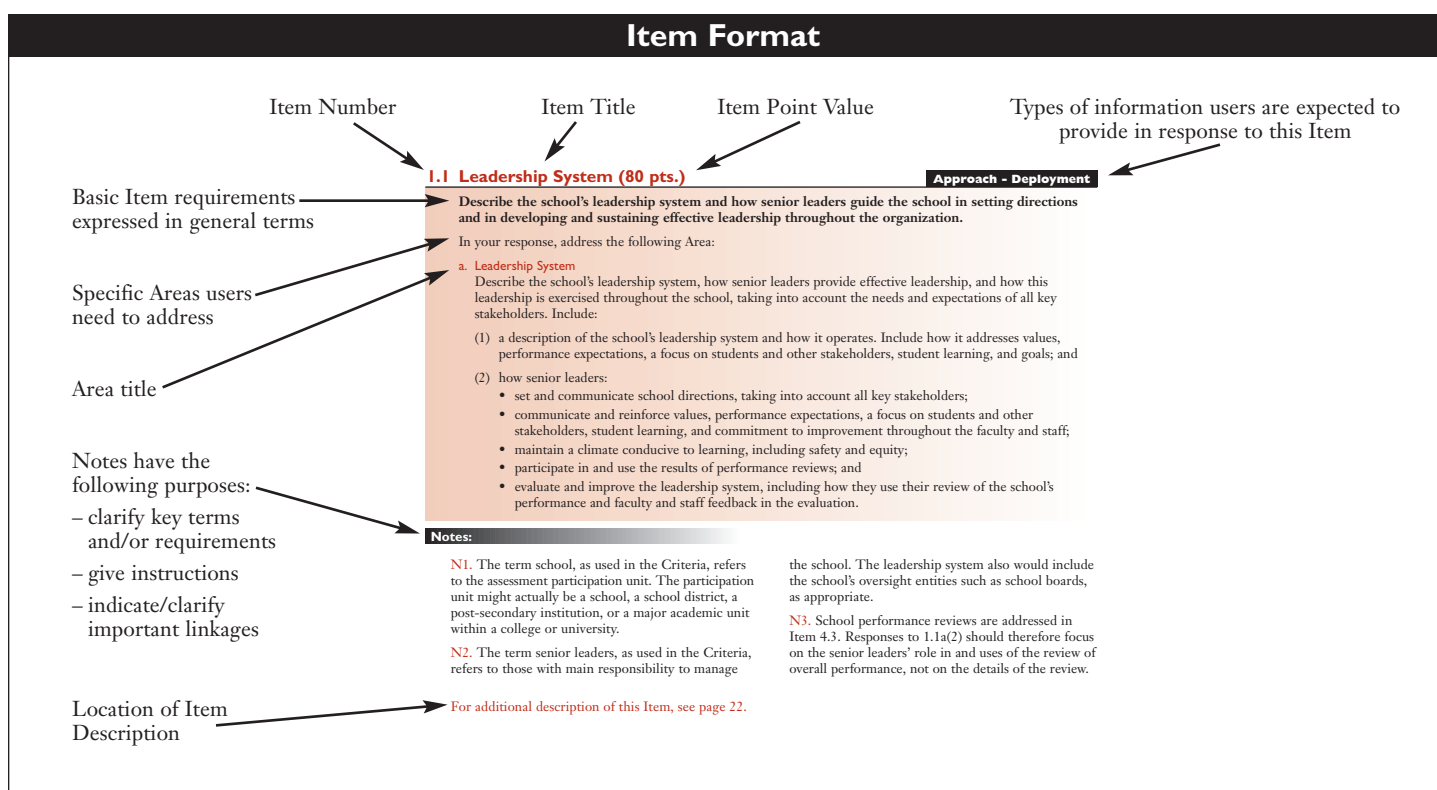
2. Review the Item format.

The Item format (see figure below) shows the different parts of Items, what each part is for, and where each part is placed. It is especially important to understand the Areas to Address and the Item Notes. All Items and Areas to Address are described in a separate section (pages 22-28).

Each Item is classified either **Approach-Deployment** or **Results**, depending on the type of information required. Guidelines for responding to Approach/Deployment Items are given on page 33. Guidelines for responding to Results Items are given on page 34.

3. Start by preparing the School Overview.

The School Overview is the most appropriate starting point for initiating a self-assessment or for writing an application. The School Overview is intended to help everyone — including the school's application writer(s) and reviewer(s) — to understand what is most relevant and important to the school. Guidelines for preparing the School Overview are given on page 31.



Guidelines for Responding to Approach/Deployment Items

The Criteria focus on key performance results. However, results by themselves offer little *diagnostic* value. For example, if some results are poor or are improving at slow rates, it is important to understand *why* this is so and *what* might be done to accelerate improvement.

The purpose of Approach-Deployment Items is to permit diagnosis of the school's most important processes — the ones that enable fast-paced performance improvement. Diagnosis and feedback depend heavily upon the *content and completeness* of Approach-Deployment Item responses. For this reason, it is important to respond to these Items by providing key process information. Guidelines for organizing and reviewing such information are given below.

1. Understand the meaning of “how.”

Items requesting information on approach include Areas that begin with the word “how.” *Responses should outline key process information such as methods, measures, deployment, and evaluation/improvement/learning factors.* Responses lacking such information, or merely providing an example, are referred to in the Scoring Guidelines as *anecdotal information*.

2. Write and review response(s) with the following guidelines, questions, and comments in mind:

■ Show *what* and *how*.

- Does the response show what is done, and does it give a clear sense of how?

It is important to give basic information about *what* the key processes are and *how* they work. Although it is helpful to include *who* performs the work, merely stating *who* does not permit feedback. For example, stating that “student satisfaction data are analyzed by the student advisors” does not permit feedback, because from this information, strengths and weaknesses in the analysis cannot be given.

■ Show that activities are *systematic*.

- Does the response show a systematic approach, or does it merely provide an example (anecdote)?

Approaches that are systematic are repeatable and use data and information for improvement and learning. In other words, approaches are systematic if they “build in” evaluation and learning, and thereby gain in maturity.

■ Show deployment.

- Does the response give clear and sufficient information on deployment of the approach addressed in the response?

Deployment can be shown compactly by using tables that summarize what is done in different parts of the school.

■ Show focus and consistency.

- Does the response show focus on key processes and improvements that offer the greatest potential to improve school performance and accomplish school action plans?

There are four important factors to consider regarding focus and consistency: (1) the School Overview should make clear what is important; (2) the Strategic Planning Category, including the strategy and action plans, should highlight areas of greatest focus and describe how deployment is accomplished; (3) descriptions of school-level analysis (Item 4.3) should show how the school analyzes and reviews performance information to set priorities; and (4) the Educational and Support Process Management Category should highlight processes that are key to overall school performance. *Focus and consistency in the Approach-Deployment Items should yield corresponding results reported in Results Items.*

■ Respond fully to Item requirements.

- Does the response lack information on important parts of an Area to Address?

Missing information will be interpreted as a gap in approach and/or deployment. All Areas should be addressed and checked in final review. Individual components of an Area to Address may be addressed individually or together.

3. Cross-reference when appropriate.

Those seeking assessment should try to make each Item response self-contained. However, some responses to different Items might be mutually reinforcing. It is then appropriate to refer to other responses, rather than to repeat information. In such cases, Area designators should be used (for example, “see 4.3a”).

4. Use a compact format.

To make best use of the 50 pages, applicants are encouraged to use flow charts, tables, and bullets to present information.

5. Refer to the Scoring Guidelines

The evaluation of Item responses is accomplished by consideration of the Criteria Item requirements and the maturity of the school's approaches, breadth of deployment, and strength of the improvement process relative to the Scoring Guidelines. Therefore, Criteria users need to consider both the Criteria and the Scoring Guidelines.

Guidelines for Responding to Results Items

The Education Criteria place greatest emphasis on results. The following information, guidelines, and example relate to effective and complete reporting of results.

1. Focus on the most critical school results.

Results reported should cover the most important requirements for school success, highlighted in the School Overview, and the Strategic Planning and Educational and Support Process Management Categories.

2. Note the meaning of the four key requirements from the Scoring Guidelines for effective reporting of results data.

- *trends* to show directions of results and rates of change;
- *performance levels* on a meaningful measurement scale;
- *comparisons* to show how results compare with those of other, appropriately selected organizations; and
- *breadth of results* to show that all important results are included.

3. Include trend data covering actual periods for tracking trends.

Because of the importance of showing focus and deployment, new data should be included even if trends and comparisons are not yet well established. No minimum period of time is specified for trend data. Time periods might span five years or more for some results.

4. Use a compact format — graphs and tables.

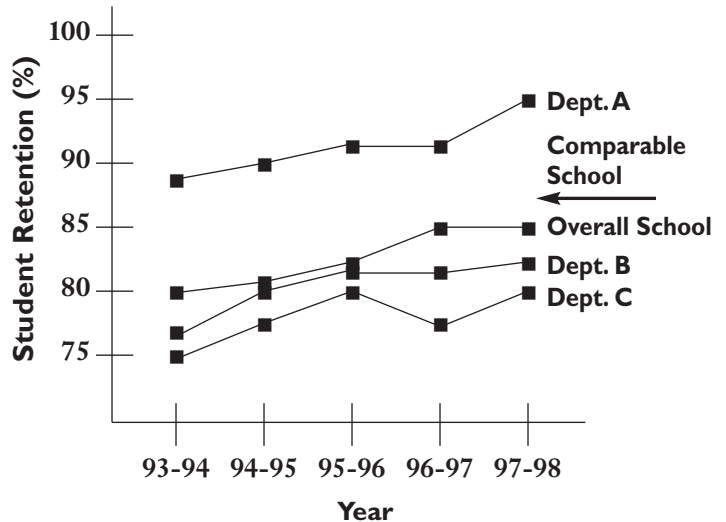
Many results can be reported compactly by using graphs and tables. Graphs and tables should be labeled for easy interpretation. Results over time or compared with others should be “normalized” — presented in a way (such as use of ratios) that takes into account various size factors.

5. Integrate results into the body of the text.

Discussion of results and the results themselves should be close together in an Award application. Use figure numbers that correspond to Items. For example, the third figure for Item 7.2 would be Figure 7.2-3. (See the example on the figure shown at right.)

The following graph illustrates data that might be presented as part of a response to Item 7.2, Student and Stakeholder Satisfaction Results.

Figure 7.2-3 Student Retention



Using the graph, the following characteristics of clear and effective data presentation are illustrated:

- Trend lines report data for a key mission objective.
- Both axes and units of measure are clearly labeled.
- Results are presented for several years.
- Meaningful comparisons are clearly shown.
- The school shows, using a single graph, that its departments separately track retention rates.

1999 EDUCATION CRITERIA: CORE VALUES, CONCEPTS, AND FRAMEWORK

Education Criteria Purposes

The Education Criteria for Performance Excellence are the basis for institutional self-assessments, for making Awards, and for giving feedback to applicants. In addition, the Education Criteria have four other purposes:

- to help improve school performance practices by making available an integrated, results-oriented set of key performance requirements;
- to facilitate communication and sharing of best practices information within and among schools of all types based upon a common understanding of key performance requirements;
- to foster the development of partnerships involving schools, businesses, human service agencies, and other organizations via related criteria; and
- to serve as a working tool for understanding and improving school performance, planning, training, and institutional assessment.

Education Criteria Goals

The Criteria are designed to help schools improve their educational services through focus on dual, results-oriented goals:

- provision of ever-improving educational value to students, contributing to their overall development and well-being; and
- improvement of overall school effectiveness, use of resources, and capabilities.

Core Values and Concepts

The Education Criteria are built upon a set of core values and concepts. These values and concepts are the foundation for developing and integrating all requirements within a results-oriented framework. These core values and concepts are:

Learning-Centered Education

Learning-centered education places the focus of education on learning and the real needs of students. Such needs derive from the requirements of the marketplace and the responsibilities of citizenship. Changes in technology and in the national and world economies are creating increasing demands on employees to become knowledge workers and problem solvers, keeping pace with the rapid changes in the marketplace. Most analysts conclude that schools of all types need to focus more on students' active learning and on the development of problem-solving skills.

Schools exist primarily to develop the fullest potential of all students, affording them opportunities to pursue a

variety of avenues to success. A learning-centered school needs to fully understand and translate marketplace and citizenship requirements into appropriate curricula. Education offerings need to be built around learning effectiveness. Teaching effectiveness needs to stress promotion of learning and achievement.

Key characteristics of learning-centered education are:

- setting high developmental expectations and standards for all students;
- understanding that students may learn in different ways and at different rates. Also, student learning rates and styles may differ over time, and may vary depending upon subject matter. Learning may be influenced by support, guidance, and climate factors, including factors that contribute to or impede learning. Thus, the learning-centered school needs to maintain a constant search for alternative ways to enhance learning. The school also needs to develop actionable information on individual students that bears upon their learning;
- providing a primary emphasis on active learning. This may require the use of a wide range of techniques, materials, and experiences to engage student interest. Techniques, materials, and experiences may be drawn from external sources such as businesses, community services, or social service organizations;
- using formative assessment to measure learning early in the learning process and to tailor learning experiences to individual needs and learning styles;
- using summative assessment to measure progress against key, relevant external standards and norms regarding what students should know and be able to do;
- assisting students and families to use self-assessment to chart progress and to clarify goals and gaps; and
- focusing on key transitions such as school-to-school and school-to-work.

Leadership

A school's senior leaders play a crucial role in the development of a student-focused, learning-oriented climate. This requires the setting of clear and visible directions and high expectations. Senior leaders need to take part in the development of strategies, systems, and methods for achieving excellence. Such strategies, systems, and methods should include a foundation of continuous improvement and learning in the way the school operates. This requires the commitment and development of all faculty and staff. Senior leaders need to ensure that school policies reinforce the learning and improvement climate and encourage initiative, self-directed responsibility, and leadership throughout the school.

In addition to their important role within the school, senior leaders have other avenues to strengthen education.

Reinforcing the learning environment in the school might require building community support and aligning community and business leaders and community services with this aim.

Continuous Improvement and Organizational Learning

Achieving ever-higher levels of school performance requires a well-executed approach to continuous improvement. A well-executed continuous improvement process has several important characteristics: (1) it has clear goals regarding what to improve; (2) it is fact-based, incorporating measures and/or indicators; (3) it is systematic, including cycles of planning, execution, and evaluation; and (4) it focuses primarily on key processes as the route to better results. The approach to improvement needs to be “embedded” in the way the school operates. Embedded means: (1) improvement is a regular part of the daily work of all faculty, staff, and students; (2) improvement processes seek to eliminate problems at their source; and (3) improvement is driven by opportunities to do better, as well as by problems that need to be corrected. Opportunities for improvement come from many sources, including: (1) faculty and staff ideas; (2) successful practices of other organizations; and (3) educational and learning research findings.

The approach to continuous improvement should seek to engage students as full participants in and contributors to improvement processes. A major opportunity exists to build active student learning around goal setting, assessment (including self-assessment), and improvement. In addition to creating an improvement-oriented climate, this approach could help to identify the best approaches to learning on an individual basis, and to build upon demonstrated improvement to strengthen student confidence and commitment to learning.

Valuing Faculty and Staff

A school’s success in improving performance depends critically upon the knowledge, capabilities, skills, and motivation of its faculty and staff. Faculty and staff success depends upon having meaningful opportunities to develop and practice new knowledge and skills. Schools need to invest in the development of faculty and staff through ongoing education, training, and opportunities for continuing growth.

For faculty, development means building not only discipline knowledge, but also knowledge of student learning styles and of assessment methods. Faculty participation may include contributing to school policies and working in teams to develop and execute programs and curricula. Increasingly, participation is becoming more student-focused and more multi-disciplinary. School leaders need to work to eliminate disincentives for groups and individuals to sustain these important, learning-focused professional development activities.

For staff, development might include classroom and on-the-job training, job rotation, and pay for demonstrated skills. Increasingly, training, education, development, and work organizations need to be tailored to a more diverse work force and to more flexible, high performance work practices.

Major challenges in the area of valuing employees include: (1) integration of human resource practices — selection, performance, recognition, training, and career advancement; and (2) alignment of human resource management with strategic change processes.

Partnership Development

Schools should seek to build internal and external partnerships to better accomplish their overall goals.

Internal partnerships might include those that promote cooperation among faculty and staff groups such as unions, departments, and work units. Agreements might be created involving employee development, cross-training, or new work organizations, such as high performance work teams. Internal partnerships might also involve creating network relationships among school units to improve flexibility and responsiveness.

External partnerships might include those with other schools, businesses, business associations, and community and social service organizations — all stakeholders and potential contributors.

Partnerships should seek to develop longer-term objectives, thereby creating a basis for mutual investments. Partners should address objectives of the partnership, key requirements for success, means of regular communication, approaches to evaluating progress, and means for adapting to changing conditions.

Design Quality and Prevention

Education improvement needs to place very strong emphasis on effective design of educational programs, curricula, and learning environments. The overall design should include clear learning objectives, taking into account the individual needs of students. Design must also include effective means for gauging student progress. A central requirement of effective design is the inclusion of an assessment strategy. Such strategy needs to emphasize the acquisition of formative information — information that provides early indication of whether or not learning is taking place — to minimize problems that might arise if learning barriers are not promptly identified and addressed.

Management by Fact

An effective education improvement system based upon cause-effect thinking needs to be built upon measurement,

information, data, and analysis. Measurements must derive from and support the school's mission and strategy and address all key requirements. A strong focus on student learning requires a comprehensive and integrated fact-based system — one that includes input data, environmental data, and performance data. Analysis refers to extracting larger meaning from data to support evaluation and decision making throughout the school. Such analysis might entail using data to reveal information — such as trends, projections, and cause and effect — that might not be evident without analysis. The effective use of measurement and analysis to support student learning and school performance improvement requires a strong focus on information system design. This might entail organizing data systems to provide key information to support design of improvement strategies. Examples include organization of data by cohorts, longitudinal information, and comparative information.

Long-Range View of the Future

Pursuit of education improvement requires a strong future orientation and a willingness to make long-term commitments to students and to all stakeholders — communities, employers, faculty, and staff. Planning needs to anticipate many types of changes, including changes in education requirements, instructional approaches, resource availability, technology, and demographics. A major longer-term investment associated with school improvement is the investment in creating and sustaining a mission-oriented assessment system focused on learning. This entails faculty education and training in assessment methods. It also entails school leadership becoming familiar with research findings and practical applications of assessment methods and learning style information.

Public Responsibility and Citizenship

A school's leadership should stress the importance of the school serving as a role model in its operation as an institution. This includes protection of public health, safety, and the environment, ethical business practices, and non-discrimination in all that the school does. Planning related to public health, safety, and the environment should anticipate adverse impacts that might arise in facilities management, laboratory operations, and transportation. Ethical business practices need to take into account proper use of public and private funds. Nondiscrimination should take into account factors such as student admissions, hiring practices, and treatment of all students and stakeholders. Inclusion of public responsibility areas within a school's performance system means meeting all local, state, and federal laws and regulatory requirements. It also means treating these and related requirements as opportunities for continuous improvement "beyond mere compliance." This requires that appropriate measures of progress be created and used in managing performance.

School citizenship refers to leadership and support — within reasonable limits of the school's resources — of publicly important purposes, including the previously mentioned areas of responsibility. Such purposes might include environmental excellence, community service, and sharing of quality-related information. An example of school citizenship might include influencing other organizations, private and public, to partner for these purposes.

Fast Response

An increasingly important measure of organizational effectiveness is faster and more flexible response to the needs of customers — students and stakeholders of the school. Many organizations are learning that explicit focus on and measurement of response times help to drive the simplification of work organizations and work processes. There are other important benefits derived from this focus: response time improvements often drive simultaneous improvements in organization, quality, and productivity. The world's best organizations are learning to make simultaneous improvements in quality, productivity, and response time — while strengthening their customer focus.

Results Orientation

A school's performance system should focus on results — reflecting and balancing the needs and interests of students and all stakeholders. To meet the sometimes conflicting and changing aims that balance implies, school strategy needs to explicitly address all student and stakeholder requirements to ensure that actions and plans meet differing needs and avoid adverse impact on students and/or stakeholders. The development and use of a balanced composite of performance indicators offer an effective means to communicate requirements, monitor actual performance, and marshal broadly-based support for improving results.

Linkage of the Education Criteria to the Baldrige Business Sector Criteria

The 1999 Education Criteria represent the second stage in the development of Criteria intended to focus on educational excellence. These Criteria incorporate the core values and concepts described above, and are built upon the seven-part framework used in the Business Criteria for Performance Excellence. The rationale for the use of the same framework is that it is adaptable to the requirements of all organizations, including education institutions. However, this adaptation does not assume that these requirements are necessarily addressed in the same way. This adaptation to education, then, is largely a translation of the language and basic concepts of business excellence. A major practical benefit from using a common framework for all sectors of the economy is that it fosters cross-sector cooperation and sharing of best practices information.

Education Criteria for Performance Excellence Framework

The core values and concepts are embodied in seven Categories, as follows:

- 1 Leadership
- 2 Strategic Planning
- 3 Student and Stakeholder Focus
- 4 Information and Analysis
- 5 Faculty and Staff Focus
- 6 Educational and Support Process Management
- 7 School Performance Results

The framework connecting and integrating the Categories is given in the figure below.

The framework has three basic elements, from top to bottom:

Strategy and Action Plans

Strategy and Action Plans are the set of student and stakeholder focused school-level requirements, derived from short- and long-term strategic planning, that must be done well for the school's strategy to succeed. Strategy and Action Plans guide overall resource decisions and drive the alignment of measures for all work units.

System

The system is comprised of the six Categories in the center of the figure that define the organization, its operations, and its results.

Leadership (Category 1), Strategic Planning (Category 2), and Student and Stakeholder Focus (Category 3) represent the leadership triad. These Categories are placed together to emphasize the importance of a leadership focus on strategy and students.

Faculty and Staff Focus (Category 5), Educational and Support Process Management (Category 6), and School Performance Results (Category 7) represent the results triad. A school's employees and its key processes accomplish the work of the organization that yields its results.

All school actions point toward a composite of performance results.

The horizontal arrow in the center of the framework links the leadership triad to the results triad, a linkage critical to school success. Furthermore, the arrow indicates the central relationship between Leadership (Category 1) and School Performance Results (Category 7). Leadership must keep its eyes on the results and must learn from them to drive improvement.

Information and Analysis

Information and Analysis (Category 4) is critical to the effective management of the school and to a fact-based system for improving performance. Information and analysis serve as a foundation for the performance management system.

Criteria Structure

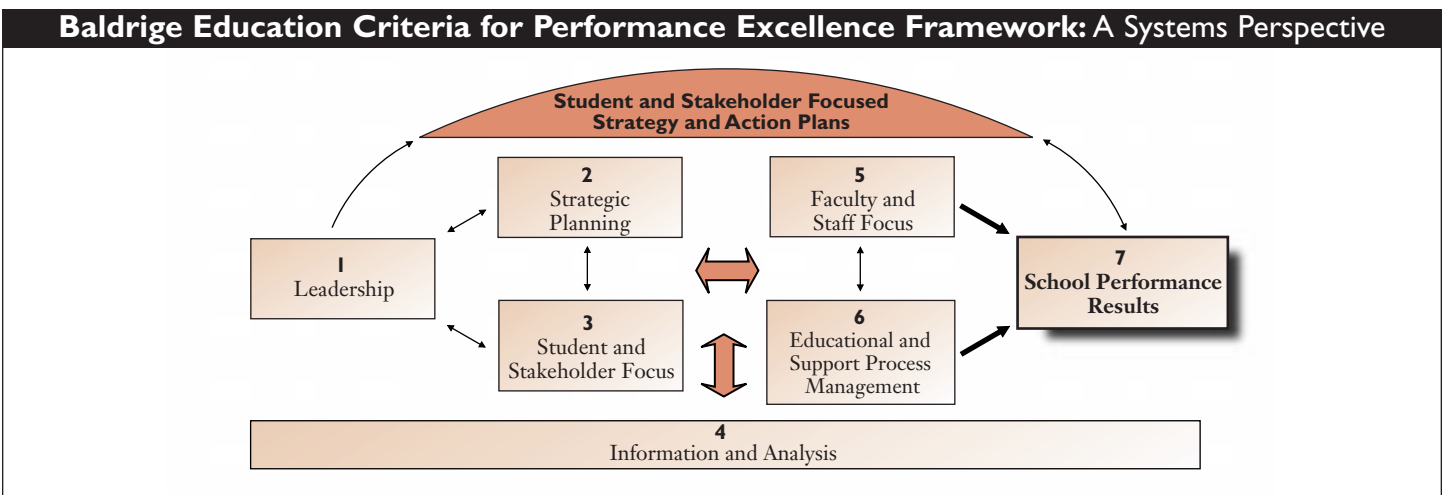
The seven Criteria Categories shown in the figure are subdivided into Items and Areas to Address:

Items

There are 18 Items, each focusing on a major requirement. Item titles and point values are given on page 2. The Item format is shown on page 32.

Areas to Address

Items consist of one or more Areas to Address (Areas). Organizations address their responses to the specific requirements of these Areas.



KEY CHARACTERISTICS OF THE EDUCATION CRITERIA

1. The Criteria are directed toward improved overall school performance results.

The Criteria focus principally on key areas of school performance, given below.

School performance results are a composite of:

- (1) student performance
- (2) student success/satisfaction
- (3) stakeholder satisfaction
- (4) school performance relative to comparable schools
- (5) effective and efficient use of resources

Improvements in these results areas comprise overall school performance.

The use of a composite of indicators helps to ensure that strategies are balanced — that they do not trade off among important stakeholders or objectives. The composite of indicators also helps to ensure that school strategies bridge short-term and long-term goals.

2. The Criteria are nonprescriptive and adaptable.

The Criteria are a set of 18 basic, interrelated, results-oriented requirements. However, the Criteria do not prescribe:

- specific tools, techniques, technologies, systems, or starting points;
- that a school should or should not have work units for quality, planning, or other functions;
- how the school itself should be organized; or
- that different organizational units should be managed in the same way.

These factors are important and are very likely to change as needs and strategies evolve. Hence, the Criteria do emphasize that these and other factors be regularly evaluated as part of the school's performance reviews.

The Criteria are nonprescriptive because:

- (1) The focus is on results, not on procedures, tools, or organizations. Schools are encouraged to develop and *demonstrate* creative, adaptive, and flexible approaches for meeting basic requirements. Nonprescriptive requirements are intended to foster incremental and major ("breakthrough") improvement.
- (2) Selection of tools, techniques, systems, and organizations usually depends upon many factors such as school size and type, the school's stage of development, and faculty/staff capabilities.
- (3) Focus on common requirements within a school, rather than on specific procedures, fosters better understanding, communication, and sharing, while supporting creativity in approaches.

3. The Criteria support a systems approach to organization-wide goal alignment.

The systems approach to goal alignment is embedded in the integrated structure of the Criteria and the results-oriented, cause-effect linkages among the Criteria Items.

Alignment in the Criteria is built around connecting and reinforcing measures, derived from the organization's strategy. These measures tie directly to the student/stakeholder value and to overall performance that relate to key internal and external requirements of the school. The use of measures thus channels different activities in consistent directions without the need for detailed procedures or centralization of decision making or process management. Measures thus serve both as a communications tool and a basis for deploying consistent overall performance requirements. Such alignment, then, ensures consistency of purpose while at the same time supporting speed, innovation, and decentralized decision making.

A systems approach to goal alignment, particularly when strategy and goals change over time, requires dynamic linkages among Criteria Categories and Items that together foster systems learning. In the Criteria, action-oriented learning takes place via feedback between processes and results via learning cycles.

The learning cycles have four, clearly defined stages:

- (1) planning, including design of processes, selection of measures, and deployment of requirements;
- (2) execution of plans;
- (3) assessment of progress, taking into account internal and external results; and
- (4) revision of plans based upon assessment findings, learning, new inputs, and new requirements.

4. The Criteria support goal-based diagnosis.

The Criteria and the Scoring Guidelines make up a two-part diagnostic system. The Criteria are a set of 18 results-oriented requirements. The Scoring Guidelines spell out the assessment dimensions — Approach, Deployment, and Results — and the key factors used in assessment against each dimension. An assessment thus provides a profile of strengths and opportunities for improvement relative to the 18 basic requirements. In this way, the assessment leads to actions that contribute to the results composite described in the colored box above. This diagnostic assessment is a useful decision tool that goes beyond most performance reviews and is applicable to a wide range of strategies and management systems.

INTEGRATION OF KEY EDUCATION THEMES

The adaptation of the Baldrige Criteria to education requires an explanation of how several important educational concepts are addressed throughout the Education Criteria. These concepts and how they are addressed are:

Concept of Excellence

The concept of excellence built into the Criteria is that of demonstrated performance. Such performance has two manifestations: (1) year-to-year improvement in key measures and/or indicators of performance; and (2) demonstrated leadership in performance and performance improvement relative to comparable schools and/or to appropriate benchmarks.

This concept of excellence is selected because: (1) it places the major focus on teaching/learning strategies; (2) it poses similar types of challenges for all schools regardless of resources and/or incoming student preparation/abilities; (3) it is most likely to stimulate learning-related research and to offer a means to disseminate the results of such research; and (4) it offers the potential to create an expanding body of knowledge of successful teaching/learning practices in the widest range of schools.

The focus on “value-added” contributions by the school does not presuppose manufacturing-oriented, mechanistic, or additive models of student development. Also, the use of a value-added concept does not imply that a school’s management system should include documented “procedures” or attempt to define “conformity” or “compliance.” Rather, the performance concept in the Education Criteria means that the school should view itself as a key developmental influence (though not the *only* influence), and that the school should seek to understand and optimize its influencing factors, guided by an effective assessment strategy.

Assessment Strategy

Central and crucial to the success of the excellence concept in the Education Criteria is a well-conceived and well-executed assessment strategy. The characteristics of such a strategy should include the following:

- clear ties between what is assessed and the school’s mission objectives. This means not only what students know, but also what they are able to do;
- a strong focus on improvement — of student performance, faculty capabilities, and school program performance;
- assessment is embedded and ongoing, with prompt feedback;
- assessment is curriculum-based and criterion-referenced, addressing key learning goals and overall performance requirements;
- clear guidelines regarding how assessment results will be used and how they will *not* be used; and
- an ongoing evaluation of the assessment system itself to improve the connection between assessment and student success. Success factors should be developed based on external requirements derived from the marketplace, other schools, etc., on an ongoing basis.

Mission Specificity

Although education organizations share common aims, individual school missions, roles, and programs vary greatly. Use of a single set of criteria to cover all requirements of all organizations means that these requirements need to be interpreted in terms of specific organizational missions. That is, specific requirements and critical success factors differ from organization to organization. For this reason, effective use of the Criteria depends upon operationalizing mission requirements consistently across the seven Categories of the Criteria framework. In particular, the Strategic Planning Category (2) needs to address all key mission requirements, setting the stage for the interpretation of the other requirements. For example, results reported in the School Performance Results Category (7) need to be clearly consistent with the school’s mission objectives.

The Education Criteria are most explicit in the area of student learning, as this requirement is common to all education institutions, regardless of their larger missions. Despite this commonality, the focus of student learning and development depends upon organizational mission. For example, results reported by trade schools, engineering schools, and music schools would be expected to differ. Nevertheless, all three types of schools would be expected to show year-to-year improvements in their mission-specific results to demonstrate the effectiveness of their performance improvement efforts.

Customers

The Business Criteria for Performance Excellence use the generic term “customers” to reflect the users of products or services. Although marketplace success depends heavily upon user preference, other stakeholders should be considered as well when setting organization requirements. Successful operation of an organization may depend upon satisfying environmental, legal, and other requirements. Thus, meaningful criteria need to incorporate all relevant requirements that organizations must meet to be successful.

Schools also must respond to a variety of requirements, all of which need to be incorporated into the Education Criteria. The adaptation of the Business Criteria to education poses alternative approaches for defining key requirements. The approach selected seeks to distinguish between students and stakeholders for purposes of clarity and emphasis. Stakeholders include parents, employers, other schools, communities, etc. To further clarify the requirements related to students, the requirements for *current* students are separated from those of *future* students. Requirements for current students are more concrete, specific, and immediate; determining requirements for future students is part of the school's planning, and needs to take into account changing student populations and changing requirements future students must be able to meet. A major challenge schools face is "bridging" between current student needs and the needs of future students. This requires an effective learning/change strategy.

Stakeholders' requirements are of two types: (1) requirements that need to be reflected in the school's educational services; and (2) requirements of the stakeholders themselves. For example, parents might request services related to their children's educational program (type 1), and the parents might also request special meeting times with the school to accommodate their work schedules (type 2). Many of the needs of employers and other stakeholders are actually needs that must be addressed in the school's educational services to students. The Education Criteria place primary emphasis upon such needs because the school's success depends heavily upon translating these needs into effective educational services and experiences.

Systems Concept

The systems concept is reflected in the integrated structure of the Criteria. The structure consists of the seven Categories with Category Items listed beneath the Category titles. The integrated structure of the Criteria consists of the

numerous direct linkages between the Categories and Items as depicted in the diagram on page 38. Such linkages are intended to ensure alignment and integration of the overall requirements. The Criteria stress cause-effect thinking and a process orientation. The intent is to accumulate a body of knowledge to help the school learn and improve from that learning. One of the main elements in the systems approach is the set of measures and/or indicators used. Such measures and indicators link key processes to key mission results.

Primary Focus on Teaching and Learning

Although the Education Criteria are intended to address all organizational requirements, including research and service, primary emphasis is placed on teaching and learning. This is done for three main reasons:

- (1) Teaching and learning are the principal goals of schools. Thus, sharing of teaching and learning strategies and methods would have the greatest impact on education system improvement.
- (2) Those who encouraged the creation of an award category for education cited improvement in teaching and learning as their primary or only rationale for such an award.
- (3) Only a small percentage of schools engage in research. Peer review systems exist to evaluate research. Funding organizations and businesses provide avenues to channel the directions of much research. Numerous excellent forums and media already exist for sharing research results. Much of the research performed in schools involves students as part of the students' overall education. Thus, the educational value of research is incorporated in the Education Criteria as part of teaching and learning. Other important aspects of research — faculty development and student/faculty recruitment — are also addressed in the Criteria.

APPLYING FOR THE MALCOLM BALDRIGE NATIONAL QUALITY AWARD

The Malcolm Baldrige National Quality Award is an annual Award to recognize U.S. organizations for performance excellence.

The Award promotes:

- awareness of performance excellence as an increasingly important element in competitiveness; and
- information sharing of successful performance strategies and the benefits derived from using these strategies.

Award Participation

The Award eligibility categories include:

- manufacturing companies
- service companies
- small businesses
- education institutions
- health care organizations

Copies of the Business Criteria and Health Care Criteria are available, and ordering information can be found on page 44.

Three awards may be given in each category each year.

To participate in the Award process, a school must submit an application package that addresses the Education Criteria for Performance Excellence (pages 5-21). Award applicants are expected to provide information and data on the organizations' key processes and results. The information and data must be adequate to demonstrate that applicants' approaches are effective and yield desired outcomes.

Application Requirements

Applicants need to submit an application package that consists of three parts:

- an Eligibility Determination Form showing that eligibility has been approved;
- a completed Application Form; and
- an application report consisting of a School Overview and responses to the Criteria.

Detailed information and the necessary forms are contained in the *1999 Application Forms & Instructions for Business, Education, and Health Care* booklet. Ordering instructions for this booklet are given on page 44.

Application Review

Applications are reviewed and evaluated by members of the Board of Examiners, in accord with strict rules regarding conflict of interest, in a four-stage process:

Stage 1 - independent review and evaluation by at least five members of the Board

Stage 2 - consensus review and evaluation for applications that score well in Stage 1

Stage 3 - site visits to applicants that score well in Stage 2

Stage 4 - Judges' review and recommendations of Award recipients

Feedback to Applicants

The feedback report, a tool for continuous improvement, is a written assessment by an evaluation team of leading U.S. experts. Each Award applicant receives a feedback report at the conclusion of the review process.

The feedback report contains an applicant-specific listing of strengths and opportunities for improvement based on the Criteria for Performance Excellence. Used by companies, education institutions, and health care organizations as part of their strategic planning processes, the feedback report helps organizations focus on their customers and improve productivity. The feedback system is one of the most important components of the Baldrige Award process; it provides a pathway for continuous improvement.

Feedback reports will be mailed at various times during the Award cycle, based on the stage of review an application reaches in the evaluation process. Strict confidentiality is observed at all times and in every aspect of application review and feedback.

Award Recipients

Award recipients may publicize and advertise their Awards. Recipients are expected to share information about their successful performance strategies with other U.S. organizations.

If your organization is applying in the Business or Health Care Category, refer to the appropriate sector-specific Criteria booklet and the *1999 Application Forms & Instructions for Business, Education, and Health Care*. Ordering information is on page 44.

SUMMARY OF EDUCATION ELIGIBILITY CATEGORIES AND RESTRICTIONS

If You Are Considering Applying for the Award:

- These Criteria should be used only for the education eligibility category.
- The following is only a summary of the eligibility rules for the education category. Summaries of the eligibility rules for the business and health care categories are in their respective Criteria booklets. If there is a question on eligibility, check the complete eligibility rules in the *1999 Application Forms & Instructions for Business, Education, and Health Care*, or call the Baldrige National Quality Program Office at (301) 975-2036.
- Whatever your Award eligibility category, you will need to obtain a copy of the *1999 Application Forms & Instructions for Business, Education, and Health Care* before proceeding. Ordering instructions are given on page 44.

Basic Eligibility

Public Law 100-107 includes provisions to expand or modify the list of Award categories. Beginning with the 1999 Award cycle, two new eligibility categories — education and health care — will be added. Participation in these two new categories is open to for-profit and not-for-profit public, private, government institutions, and some subunits — including U.S. subunits of foreign institutions — that provide education services in the United States and its territories.

Eligibility is intended to be as open as possible. For example, eligible institutions include elementary and secondary schools and school districts; colleges, universities, and university systems; schools or colleges within universities; professional schools; community colleges; and technical schools. However, departments within schools or colleges are ineligible.

Note: *For-profit education institutions may choose to apply either under the service or small business categories, as appropriate, using the Business Criteria, or under the education category using the Education Criteria.*

Subunits

A subunit is a unit or division of a larger (parent) institution. Subunits of institutions may be eligible. To be eligible, the

subunit must be self-sufficient enough to be examined in all seven Criteria Categories, and it must be recognizable as a discrete entity that is easily distinguishable from the parent and its other subunits. It cannot be primarily a support function (e.g., student advising units, counseling units, food services, health services, housing, libraries, safety, finance and accounting, human resources, public relations, and purchasing).

Other Restrictions on Eligibility

Location: Although an applicant may have facilities outside the United States or its territories or receive support from its parent, in the event of a site visit, the applicant must ensure that the appropriate people and materials are available for examination in the United States to document the operational practices associated with all of its major functions. In the event that the applicant receives the Award, it must be able to share information on the seven Baldrige Categories at the Quest for Excellence Conference and at its U.S. facilities. Sharing beyond the Quest for Excellence Conference is on a voluntary basis.

Multiple-Application Restrictions: A subunit and its parent may not both apply for Awards in the same year, and only one subunit of a parent may apply for an Award in the same year in the same eligibility category.

Future Eligibility Restrictions: If an institution or a subunit that has more than 50% of the total employees of the parent receives an Award, the institution and all its subunits are ineligible to apply for another Award for five years. If a subunit receives an Award, that subunit and all its subunits are ineligible to apply for another Award for five years. After five years, Award recipients are eligible to reapply for the Award or to reapply “for feedback only.”

Eligibility Determination

To ensure that Award recipients meet all reasonable requirements and expectations in representing the Award throughout the United States, potential applicants must have their eligibility approved prior to applying for the Award. Potential applicants for the 1999 Award are encouraged to submit their Eligibility Determination Forms as early as possible after they are available, but no later than April 15, 1999. This form is contained in the *1999 Application Forms & Instructions for Business, Education, and Health Care*.

HOW TO ORDER COPIES OF BALDRIGE PROGRAM MATERIALS

Note: If you are planning to apply for the Award, you will need the 1999 Application Forms & Instructions for Business, Education, and Health Care in addition to the Criteria booklet.

Individual Orders

Individual copies of the Criteria booklets and the Application Forms & Instructions can be obtained free of charge from:

Baldrige National Quality Program
National Institute of Standards and Technology
Administration Building, Room A635
100 Bureau Drive, Stop 1020
Gaithersburg, MD 20899-1020
Telephone: (301) 975-2036
Fax: (301) 948-3716
E-mail: nqp@nist.gov

Bulk Orders

Multiple copies of the *1999 Criteria for Performance Excellence* booklets may be ordered in packets of 10 for \$29.95 plus shipping and handling from the American Society for Quality (ASQ).

1999 Business Criteria — Item Number T1078
1999 Education Criteria — Item Number T1082
1999 Health Care Criteria — Item Number T1081

How to Order

ASQ offers four convenient ways to order:

- For fastest service, call toll free (800) 248-1946 in the United States and Canada (in Mexico, dial toll free 95-800-248-1946). Have item numbers, your credit card or purchase order number, and (if applicable) ASQ member number ready.
- Or fax your completed order form to ASQ at (414) 272-1734.
- Or mail your order to: ASQ Customer Service Department, P.O. Box 3066, Milwaukee, WI 53201-3066.
- Or order online by accessing ASQ's website at <http://www.asq.org>.

Payment

Your payment options include: Check, money order, U.S. purchase order, VISA, MasterCard, or American Express. Payment must be made in U.S. currency; checks and money orders must be drawn on a U.S. financial institution. All international orders must be prepaid. Please make checks payable to ASQ.

Shipping Fees

The following shipping and processing schedule applies to all orders:

Order Amount	U.S. Charges	Canadian Charges
0 - \$34.99	\$ 4.00	\$ 9.00
\$35.00 - 99.99	6.25	11.25
Over \$100.00	12.50*	17.50

- There is an additional charge of 25% of the total order amount for shipments outside the United States/Canada.
- Orders shipped within the continental United States and Canada where UPS service is available will be shipped UPS.
- Please allow one to two weeks for delivery. International customers, please allow six to eight weeks for delivery.
- Your credit card will not be charged until your items are shipped. Shipping and processing are charged one time, up front, for the entire order.

**If actual shipping charges exceed \$12.50 (\$17.50 Canadian), ASQ will invoice the customer for the additional expense.*

Baldrige Educational Materials

Each year, the Baldrige National Quality Program develops materials for training members of the Board of Examiners and for sharing information on the successful performance excellence strategies of the Award recipients. The following items are a sample of the educational materials that may be ordered from ASQ.

■ Case Studies

The case studies are used to prepare Examiners for the interpretation of the Criteria and the Scoring System. The case studies, when used with the Criteria, illustrate the Award application and review process. The case study packet is illustrative of an application for the Baldrige Award and is useful in understanding the benefits of the Baldrige process, as well as for self-assessment, planning, training, and other uses.

1998 Business Case Study Packet: Gemini Home Health Services (Based on the *1998 Criteria for Performance Excellence*)

Item Number T1083: \$49.95 plus shipping and handling

1997 Business Case Study Packet: Gateway Estate Lawn Equipment Company (Based on the *1997 Criteria for Performance Excellence*)

Item Number T1039: \$49.95 plus shipping and handling

Education Case Study Packet: Ridgecrest School District (Based on the *1995 Education Pilot Criteria*)

Item Number T1023: \$7.28 plus shipping and handling

Education Case Study Packet: Midstate University (Based on the *1995 Education Pilot Criteria*)

Item Number T504: \$6.11 plus shipping and handling

Health Care Case Study Packet: Pinnacle Health Plan (Based on the *1995 Health Care Pilot Criteria*)

Item Number T1029: \$7.28 plus shipping and handling

Health Care Case Study Packet: Mountainview Health System (Based on the *1995 Health Care Pilot Criteria*)

Item Number T506: \$6.11 plus shipping and handling

■ **Award Winners Videos**

The Award winners videos are a valuable resource for gaining a better understanding of performance excellence and quality achievement. The videos provide background information on the Baldrige National Quality Program, highlights from the annual Award ceremony, and interviews

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FEES FOR THE 1999 AWARD CYCLE

Eligibility Determination Fees

The eligibility determination fee is \$100 for all potential applicants. This fee is nonrefundable.

Application Fees

- for-profit education institutions with more than 500 employees — \$4500
- for-profit education institutions with fewer than 500 employees — \$1500
- all not-for-profit education institutions — \$300

Detailed information on fees is given in the *1999 Application Forms & Instructions for Business, Education, and Health Care* booklet.

with representatives from the winning companies. Information on the 1998 Award winners video is provided below. Videos about Award winners from other years also are available from ASQ.

1998 — Item Number T1076 \$ 20.00
(Available April 1999)

■ **How to Order**

To order a Case Study Packet (Gemini Home Health Services, Gateway Estate Lawn Equipment Company, Ridgecrest School District, Midstate University, Pinnacle Health Plan, or Mountainview Health System), bulk orders of the 1999 Criteria booklets, or the Award winners videos, contact:

ASQ Customer Service Department
P.O. Box 3066
Milwaukee, WI 53201-3066
Telephone: (800) 248-1946
Fax: (414) 272-1734
E-mail: asq@asq.org
Web Address: <http://www.asq.org>

Site Visit Review Fees

Site visit review fees will be set when the visits are scheduled. Fees depend upon the number of Examiners assigned and the duration of the visit. Site visit review fees for for-profit education institutions with fewer than 500 employees are one-half the rate for for-profit education institutions with more than 500 employees. Nominal fees will be charged to not-for-profit education institutions selected for site visits. These fees are paid only by those applicants reaching the site visit stage.

Eligibility Determination Forms due — April 15, 1999
Award Applications due — June 2, 1999

The Baldrige National Quality Program welcomes your comments on the Criteria or any of the Award processes. Please address your comments to:

1999 Education Criteria for Performance Excellence
Baldrige National Quality Program
National Institute of Standards and Technology
Administration Building, Room A635
100 Bureau Drive, Stop 1020
Gaithersburg, MD 20899-1020

or E-mail: nqp@nist.gov

or Web Address: <http://www.quality.nist.gov>

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THE MALCOLM BALDRIGE NATIONAL QUALITY IMPROVEMENT ACT OF 1987 — PUBLIC LAW 100-107

The Malcolm Baldrige National Quality Award was created by Public Law 100-107, signed into law on August 20, 1987. Public Law 100-107 led to the creation of a new public-private partnership. Principal support for the program comes from the Foundation for the Malcolm Baldrige National Quality Award, established in 1988.

The Award is named for Malcolm Baldrige, who served as Secretary of Commerce from 1981 until his death in 1987. His managerial excellence contributed to long-term improvement in efficiency and effectiveness of government.

The Findings and Purposes Section of Public Law 100-107 states that:

- “1. the leadership of the United States in product and process quality has been challenged strongly (and sometimes successfully) by foreign competition, and our Nation’s productivity growth has improved less than our competitors’ over the last two decades.
2. American business and industry are beginning to understand that poor quality costs companies as much as 20 percent of sales revenues nationally and that improved quality of goods and services goes hand in hand with improved productivity, lower costs, and increased profitability.
3. strategic planning for quality and quality improvement programs, through a commitment to excellence in manufacturing and services, are becoming more and more essential to the well-being of our Nation’s economy and our ability to compete effectively in the global marketplace.
4. improved management understanding of the factory floor, worker involvement in quality, and greater emphasis on statistical process control can lead to dramatic improvements in the cost and quality of manufactured products.
5. the concept of quality improvement is directly applicable to small companies as well as large, to service industries as well as manufacturing, and to the public sector as well as private enterprise.
6. in order to be successful, quality improvement programs must be management-led and customer-oriented, and this may require fundamental changes in the way companies and agencies do business.
7. several major industrial nations have successfully coupled rigorous private-sector quality audits with national awards giving special recognition to those enterprises the audits identify as the very best; and
8. a national quality award program of this kind in the United States would help improve quality and productivity by:
 - A. helping to stimulate American companies to improve quality and productivity for the pride of recognition while obtaining a competitive edge through increased profits;
 - B. recognizing the achievements of those companies that improve the quality of their goods and services and providing an example to others;
 - C. establishing guidelines and criteria that can be used by business, industrial, governmental, and other organizations in evaluating their own quality improvement efforts; and
 - D. providing specific guidance for other American organizations that wish to learn how to manage for high quality by making available detailed information on how winning organizations were able to change their cultures and achieve eminence.”

Baldrige National Quality Program

United States Department of Commerce
Technology Administration
National Institute of Standards and Technology
Baldrige National Quality Program
Administration Building, Room A635
100 Bureau Drive, Stop 1020
Gaithersburg, MD 20899-1020

The National Institute of Standards and Technology (NIST) is a non-regulatory federal agency within the Commerce Department's Technology Administration. NIST's primary mission is to promote U.S. economic growth by working with industry to develop and apply technology, measurements, and standards. The Baldrige National Quality Program at NIST manages the Malcolm Baldrige National Quality Award.

Call NIST for:

- information on the Malcolm Baldrige National Quality Award process and eligibility requirements
- information on the content of Baldrige Award documents
- individual copies of the Criteria (no cost)
- Application Forms & Instructions for Business, Education, and Health Care (no cost)
- Examiner applications (no cost)
- information on other Baldrige Program materials

Telephone: (301) 975-2036; Fax: (301) 948-3716; E-mail: nqp@nist.gov
Web Address: <http://www.quality.nist.gov>

American Society for Quality
611 East Wisconsin Avenue
P.O. Box 3005
Milwaukee, WI 53201-3005

The American Society for Quality (ASQ) advances individual and organizational performance excellence worldwide by providing opportunities for learning, quality improvement, and knowledge exchange. ASQ administers the Malcolm Baldrige National Quality Award under contract to NIST.

Call ASQ to order:

- bulk copies of the Criteria
- case studies
- Award winners videos

Telephone: (800) 248-1946; Fax: (414) 272-1734; E-mail: asq@asq.org
Web Address: <http://www.asq.org>

Design: RCW Communication Design Inc.



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